

**State Universities Civil Service System
Human Resource Directors Advisory Committee
Agenda**

February 4, 2011

- I. Welcome and Introductions
- II. Update on Pilot Program Sub-Committee Activities
- III. Data Collection – Employee Served Report/Quarterly Reports
 - Transition to new format
 - Raw data interface
- IV. Review of recent legislative actions to amend the State Universities Civil Service Act
- V. Update on the development and transition of the current Exemption Procedures to be formally codified as administrative rules under 80 Ill. Adm. Code §250
- VI. Other System Office Activities
 - Class Plan Update
 - Audit Update
 - Legal Update
- VII. Other Topics

Pilot Program Integration into E-Test

- Classes formerly known as Pilot Program classes will be known as Custom Classifications in E-Test.
- Custom Classifications available:
 - Accounting Associate
 - Business/Administrative Associate
 - Human Resource Associate
 - Information Technology Manager/Administrative Coordinator
 - Information Technology Support Associate
 - Information Technology Technical Associate
- Custom Classes will integrate into current register system and credentials assessment model with minimal changes for HR.
- HR will develop the requirements (or specialty factor) for each Custom Classification. No approval from the System Office is required. There is no limit on the number of possible registers for each Custom Classification.
- Each Custom Classification will have a standard credentials assessment. The credentials assessment will incorporate the HR requirements (or specialty factor) into the minimum acceptable qualifications.

DRAFT Example:

The Rater must verify each required credential through the review of application materials.

1. Any combination totaling **six years** from the following categories:
 - a) progressively more responsible work experience in IT-related profession
 - b) college course work with a concentration in Information Technology (IT), IT Management, or a closely related discipline, as measured by the following conversion table or its proportional equivalent:
 - 60 semester hours or Associate's Degree equals one year
 - 90 semester hours equals two years
 - 120 semester hours or Bachelor's Degree equals three years
2. Additional education, training, and/or work experience in an area of specialization inherent to the position may be required:

Microsoft .NET Developer

- Demonstrated experience developing web applications in Microsoft .NET.
 - Microsoft Certified Systems Engineer
-
- Register and report generation will not change.

SUCSS Employee Data System

Report Requirements

- Comma Separated Value file (CSV) using a pipe | as the delimiter. No other delimiter or format will import.
- Name of the file should be your employer code (ex. 900.csv)
- Do not change the format of your data to fit our structure. We would like a raw snapshot of the data and will use the mapping rules you specify to manipulate the data. See the Mapping Rule below for an example.

Data Element	Column Heading	Example(s)	Mapping Required
Employer Code	EmpCode	050	
Organizational Location	OrgLocation	DeKalb	
ID Number	EmployeeID	9088 (Do not use full SSN); Employee ID	
Gender	Gender	M; 1	Y
Ethnicity	Ethnicity	AI; 2; American-Indian	Y
Class Code	ClassCode	0010	Y
CS Class Title	CSTitle	IT Technical Associate	
Working Title	CSWorkingTitle	IT Assistant Manager	
Position Number	PosNo	CS10000	
CUPA Code	CUPA		
Appointment Type	ApptType	CS; PAA; Faculty, etc	Y
Civil Service Status	CSStatus	Status; Extra-Help	Y
Exemption Category	ExemptCat	e2; 36e(2)	Y
PAA Standard Job Title	PAAStandardTitle	Assistant Director	
PAA Individual Job Title	PAAIndividualTitle	Assistant Director, Operations	
Date in Class/Appointment	DateInClass	01/01/2000	
Standard Work Week	WorkWeek	37.5; 40	
Rate Type	RateType	R	Y
Funding Source	FundingSource	General Revenue	Y
Payroll Period	PayRateType	M; Monthly	Y
Pay Rate	PayRate	3550.35	
Appointment Percent (FTE)	ApptPercent	1.00	

Mapping Rule Examples

Using the Gender field as our example, if the data is stored in numeric format, please indicate what each number means.

1 = Male

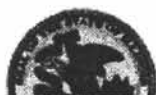
2 = Female

Using the Ethnicity field as our example, if the data is stored in an abbreviation, please indicate what the abbreviation means:

W = White

B = Black

AI = American-Indian



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96th General Assembly

Hearing Notice For Appropriations II

This is a joint hearing with the Senate Committee on Higher Education.

Members	Notice of Hearing	Bills
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Hearing Scheduled for Aug 11, 2010

Chairperson	John Sullivan
Vice-Chairperson	Jeffrey Schoenberg
Minority Spokesperson	Pamela Althoff
Scheduled Date:	Aug 11, 2010 1:00PM
Location:	333 South Ashland Avenue 3rd Floor Chicago
Posting Date:	Aug 04, 2010 8:40AM
Subject Matter:	Civil Service Employee Classifications, Exemptions, and Protocols At The University of Illinois at Chicago. Testimony Will Be Heard From: University of Illinois, State University Civil Service Merit Board, and SEIU.
Secretary of the Senate:	Jillayne Rock

Bill #	Sponsor	ABR - Short Description	Last Action
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*At this time, no legislation has been assigned.

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STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Sunnycrest Center
1717 Philo Road, Suite 24
Urbana, Illinois 61802-6099



Joanne E. Maitland
Merit Board Chair
Lewis T. (Tom) Morelock
Executive Director

September 2, 2010

The Honorable John M. Sullivan
State Senator
926 Broadway, Suite 6
Quincy, IL 62301

The Honorable Edward D. Maloney
State Senator
10400 South Western Avenue
Chicago, IL 60643

Dear Senator Sullivan and Senator Maloney:

On August 11, 2010, a Joint Senate Committee, composed of the members of the Senate Higher Education Committee and the Senate Appropriations II Committee, was convened to discuss ***'civil service employment classifications, exemptions, and protocols at the University of Illinois at Chicago'***. The State Universities Civil Service System, which has statutory jurisdiction regarding this topic, provided several documents, materials, and oral testimony and reviewed recent compliance audit reports related to the personnel management system at the University of Illinois at Chicago. As requested by members of this Committee, this letter is intended to provide a list of follow-up activities directly related to our statutory charge of administering the state university personnel management system, and insuring that specific regulations in this respect are strictly followed through our regulatory compliance audit process and Merit Board procedures.

First, I want to express our disappointment in the fact that the University of Illinois at Chicago (UIC) elected to 'not participate' in this August 11 committee hearing. The Committee deserved to know firsthand from UIC what they were doing to directly resolve the issues detailed in the compliance audit findings. Our office simply did not have the capacity or internal employer knowledge to specifically answer some of the questions posed at this hearing, most specifically regarding the ongoing employment activities and human resource management operations at UIC and their internal response to address the many compliance audit findings. Many of the questions that the Committee members had formulated could simply not be answered, which added a sense of frustration to the questioning and anxiety to the overall meeting dynamics. At times, that frustration was expressed by members of the Committee. Unfortunately, our testimony could only address our specific interactions with UIC, the compliance audit process, and our agency responsibilities to address compliance issues within our limited statutory and legal framework.

We wish to express our gratitude to the Joint Senate Committee for allowing the necessary time to briefly explain our compliance audit process and detail the findings contained in the 2008 UIC Final Biennial Compliance Audit, and the 2009 UIC Supplemental Audit Report. We noted that our testimony

led to several questions regarding our limited authority in aggressively addressing major compliance issues. There were questions and criticisms regarding the Merit Board's decision many years ago to delegate sole authority to the University System employers to exempt positions from statutory guidelines, implying that the compliance audit process may not be an adequate mechanism of maintaining regulatory compliance in this respect. This criticism was even more pronounced than predicted, especially since the University of Illinois elected not to comment on many of these matters. As prefaced in our testimony, our professional working relationship with our many employers, including UIC, and our many employee constituency groups remains excellent. Hopefully, that can provide the foundation to reconcile the issues discussed at this hearing.

As a follow-up to the testimony provided on August 11, 2010 and, as requested by the Committee, we have listed below additional actions that will be taken by our office to first aggressively address the employment issues at UIC, and also to adjust our regulatory standards to increase employer accountability and further insure complete statutory compliance consistent with the legislative intent expressed through the State Universities Civil Service Act. Below are some actions taken by the Merit Board in response to this issue and legislative inquiry.

UIC Action Plan

UIC has initiated several follow up activities in response to the major findings contained in the 2008 Final Audit Report and the 2009 Final Supplemental Audit Report. Most recently, UIC designated Maureen Parks, Assistant Vice President for Human Resources, as our direct liaison regarding civil service audit activities. They have also conveyed to our office their assessment and development of many new business processes to address specific audit and compliance issues. Hopefully, they have or will convey these major business process changes to your office. These actions signify a major institutional resource commitment and attempt to achieve statutory compliance in this respect. The University System Office will continue to closely monitor these major business process activities and evaluate their effectiveness in addressing compliance issues.

To date, progress has been very slow and very few positions, designated in these audits as inappropriately exempt from civil service statutes, have been transitioned. In the two UIC audits reviewed with the Committee by our office, 186 positions were cited for inappropriate exemption authorization. This was based on our review of a relatively small sample size of 252 positions out of approximately 3000 total exempt positions. To date, action is still pending on 107 of these positions, with only 13 of the 186 actually converted to appropriate civil service appointments. Approximately 59 of these 186 positions have been simply terminated. Please understand that the magnitude and severity of this issue is extremely high, the worst ever experienced by this office through our compliance audit process.

As we indicated at the August 11 hearing, the University System office is now in the midst of the 2010 UIC Biennial Compliance Audit Process. We will be reviewing very closely the many new business protocols and actual employment activity over this new audit timeframe, and even more aggressively addressing the exemption and employment process with UIC. This audit process should be concluded soon after our scheduled October on-site visit. However, we are in the midst of collecting our preliminary information which will be heavily scrutinized to determine if some immediate action is required before we finalize the 2010 UIC Final Biennial Audit Report. Our Merit Board was previously made aware of these issues, and all members were recently fully apprised of this situation at the August 18, 2010 board meeting. Within our Merit Board policy and procedural guidelines, the following course

of action is planned should issues remain, or actions delayed, regarding the inappropriate exemption of positions at UIC:

- 1) Immediate transition of all inappropriately exempted positions/incumbents, as determined to match civil service specifications, to appropriate civil service appointments/classifications***
- 2) Consideration of specific Merit Board action to temporarily withdraw UIC exemption authority, and require approval for each exemption through the University System Office prior to employment***
- 3) Removal of DER (Designated Employer Representative) designation for UIC, with University System Office retaining full authority to act as DER for the UIC employment location, until such time that UIC can demonstrate an effective personnel management system that meets statutory compliance requirements***
- 4) In the case of ongoing willful and intentional misconduct or mismanagement, possible referral to the Inspector General's Office or State's Attorney Office for further investigation and recommendation***

Additional Merit Board Actions

Aside from initiating actions to aggressively address the problems encountered at UIC, the University System Office was also asked to provide recommendations on updating regulatory components to more aggressively address compliance issues within our jurisdiction. Following is a list of actions that the Merit Board has taken and/or will be considering soon in our attempt to address any future non-compliance issue discovered through our standardized biennial audit process, and most specifically the exemption issue exemplified in the UIC audits:

- 1) Establishment of a more comprehensive set of administrative rules regarding the biennial compliance audit process, outlining specific actions to be taken in instances of statutory non-compliance***
- 2) Transition of exemption authorization procedures into specific comprehensive administrative rules***
- 3) Until such time that 1 and 2 above can be implemented, the Merit Board will be asked to consider immediate action to modify current procedural standards to specifically limit exemption authorization by our various employers, increase accountability standards, and more fully detail consequences for noncompliance***
- 4) For the sake of complete transparency, the Merit Board will publicize all final audit reports at our public website address as soon as they are released; the University System Office has been questioned about this many times and has been required to devote additional resources to produce these reports under the FOIA***
- 5) Develop and offer statutory legislative action in this regard as necessary***

Item 1 and Item 2 above will trigger further legislative review, through the JCAR rulemaking process, and provide additional public input regarding our statutory and regulatory authority, most specifically with respect to more aggressively addressing compliance issues and establishing more comprehensive accountability standards. At this time, this rulemaking approach will hopefully preclude the need to develop and initiate other substantive statutory change. However, should changes to the State Universities Civil Service Act be otherwise suggested, or required as a result of the initiation of the

rulemaking process, our office will certainly seek your assistance in developing and promoting such legislative action.

Regarding Item #3, our office provided the Committee with a set of current internal procedures designed to establish accountability standards and non-compliance consequences, specifically regarding the exemption of positions from civil service statutes. We will thoroughly review these procedures and develop protocols to more aggressively address compliance issues, and significantly increase accountability standards in this respect. The Merit Board will be presented with these procedure changes and hopefully will take immediate action to implement many of them at their next regularly scheduled meeting.

With regard to Item #4, the University System Office has often been questioned about public access and transparency in our operations. Public access through our website to all final audit reports is consistent with legislative intent and current Freedom of Information Act (FOIA) guidelines. We are in the midst of updating our website, and have built this public report access into the new website. You can view this feature at <http://www.sucss.state.il.us/>.

As indicated above, we strongly believe that the State Universities Civil Service Act already provides the authority for the Merit Board to establish aggressive regulatory protocols and accountability standards through the rulemaking process. Our plan to initiate the rulemaking process triggers significant legislative action, without statutory change. Aggressive Merit Board action to initiate some immediate procedural changes, followed by significant rule change proposals, should preclude the need for statutory change. The rule change process will also provide a more universal and collaborative interaction of all stakeholders regarding this topic. However, should statutory change be required, we most certainly will be seeking your support and guidance in the development and legislative approval of any such proposal.

Again, thank you for the opportunity on August 11, 2010 to speak with the Joint Senate Committee. Overall, it was a very positive discussion and inquiry. Please convey this information to the rest of the Joint Senate Committee members as needed. If there are any additional questions, please contact my office.

Respectfully yours,



Lewis T. (Tom) Morelock
Executive Director

LTM:tr



LRB096 09707 AMC 44723 a

1 AMENDMENT TO HOUSE BILL 2386

2 AMENDMENT NO. _____. Amend House Bill 2386, AS AMENDED, by
3 replacing everything after the enacting clause with the
4 following:

5 "Section 5. The State Universities Civil Service Act is
6 amended by changing Sections 36d, 36e, 36g, 36h, 36j, and 36o
7 and by adding Section 36t as follows:

8 (110 ILCS 70/36d) (from Ch. 24 1/2, par. 38b3)

9 Sec. 36d. Powers and duties of the Merit Board.

10 The Merit Board shall have the power and duty-

11 (1) To approve a classification plan prepared under its
12 direction, assigning to each class positions of substantially
13 similar duties. The Merit Board shall have power to delegate to
14 its Executive Director the duty of assigning each position in
15 the classified service to the appropriate class in the
16 classification plan approved by the Merit Board.

1 (2) To prescribe the duties of each class of positions and
2 the qualifications required by employment in that class.

3 (3) To prescribe the range of compensation for each class
4 or to fix a single rate of compensation for employees in a
5 particular class; and to establish other conditions of
6 employment which an employer and employee representatives have
7 agreed upon as fair and equitable. The Merit Board shall direct
8 the payment of the "prevailing rate of wages" in those
9 classifications in which, on January 1, 1952, any employer is
10 paying such prevailing rate and in such other classes as the
11 Merit Board may thereafter determine. "Prevailing rate of
12 wages" as used herein shall be the wages paid generally in the
13 locality in which the work is being performed to employees
14 engaged in work of a similar character. Each employer covered
15 by the University System shall be authorized to negotiate with
16 representatives of employees to determine appropriate ranges
17 or rates of compensation or other conditions of employment and
18 may recommend to the Merit Board for establishment the rates or
19 ranges or other conditions of employment which the employer and
20 employee representatives have agreed upon as fair and
21 equitable. Any rates or ranges established prior to January 1,
22 1952, and hereafter, shall not be changed except in accordance
23 with the procedures herein provided.

24 (4) To recommend to the institutions and agencies specified
25 in Section 36e standards for hours of work, holidays, sick
26 leave, overtime compensation and vacation for the purpose of

1 improving conditions of employment covered therein and for the
2 purpose of insuring conformity with the prevailing rate
3 principal.

4 (5) To prescribe standards of examination for each class,
5 the examinations to be related to the duties of such class. The
6 Merit Board shall have power to delegate to the Executive
7 Director and his staff the preparation, conduct and grading of
8 examinations. Examinations may be written, oral, by statement
9 of training and experience, in the form of tests of knowledge,
10 skill, capacity, intellect, aptitude; or, by any other method,
11 which in the judgment of the Merit Board is reasonable and
12 practical for any particular classification. Different
13 examining procedures may be determined for the examinations in
14 different classifications but all examinations in the same
15 classification shall be uniform.

16 (6) To authorize the continuous recruitment of personnel
17 and to that end, to delegate to the Executive Director and his
18 staff the power and the duty to conduct open and continuous
19 competitive examinations for all classifications of
20 employment.

21 (7) To cause to be established from the results of
22 examinations registers for each class of positions in the
23 classified service of the State Universities Civil Service
24 System, of the persons who shall attain the minimum mark fixed
25 by the Merit Board for the examination; and such persons shall
26 take rank upon the registers as candidates in the order of

1 their relative excellence as determined by examination,
2 without reference to priority of time of examination.

3 (8) To provide by its rules for promotions in the
4 classified service. Vacancies shall be filled by promotion
5 whenever practicable. For the purpose of this paragraph, an
6 advancement in class shall constitute a promotion.

7 (9) To set a probationary period of employment of no less
8 than 6 months and no longer than 12 months for each class of
9 positions in the classification plan, the length of the
10 probationary period for each class to be determined by the
11 Director.

12 (10) To provide by its rules for employment at regular
13 rates of compensation of physically handicapped persons in
14 positions in which the handicap does not prevent the individual
15 from furnishing satisfactory service.

16 (11) To make and publish rules, to carry out the purpose of
17 the State Universities Civil Service System and for
18 examination, appointments, transfers and removals and for
19 maintaining and keeping records of the efficiency of officers
20 and employees and groups of officers and employees in
21 accordance with the provisions of Sections 36b to 36q,
22 inclusive, and said Merit Board may from time to time make
23 changes in such rules.

24 (12) To appoint a Executive Director and such assistants
25 and other clerical and technical help as may be necessary
26 efficiently to administer Sections 36b to 36q, inclusive. To

1 authorize the Director to appoint an assistant resident at the
2 place of employment of each employer specified in Section 36e
3 and this assistant may be authorized to give examinations and
4 to certify names from the regional registers provided in
5 Section 36k.

6 (13) To submit to the Governor of this state on or before
7 November 1 of each year prior to the regular session of the
8 General Assembly a report of the University System's business
9 and an estimate of the amount of appropriation from state funds
10 required for the purpose of administering the University
11 System.

12 (Source: P.A. 82-524.)

13 (110 ILCS 70/36e) (from Ch. 24 1/2, par. 38b4)

14 Sec. 36e. Coverage. All employees of the Illinois Community
15 College Board, State Community College of East St. Louis
16 (abolished under Section 2-12.1 of the Public Community College
17 Act), Southern Illinois University, Chicago State University,
18 Eastern Illinois University, Governors State University,
19 Illinois State University, Northeastern Illinois University,
20 Northern Illinois University, Western Illinois University,
21 University of Illinois, State Universities Civil Service
22 System, State Universities Retirement System, the State
23 Scholarship Commission, and the Board of Higher Education,
24 shall be covered by the University System described in Sections
25 36b to 36q, inclusive, of this Act, except the following

1 persons:

2 (1) The members and officers of the Merit Board and the
3 board of trustees, and the commissioners of the
4 institutions and agencies covered hereunder;

5 (2) The presidents and vice-presidents of each
6 educational institution;

7 (3) Other principal administrative employees of each
8 institution and agency approved ~~as determined~~ by the Merit
9 Board;

10 (i) each position exempted under this Section
11 shall be reviewed and approved by the Merit Board, or
12 as designated through the Executive Director;

13 (ii) exemption authority in this respect lies
14 solely with the Merit Board, or as designated through
15 the Executive Director, and shall not be extended to
16 any other employing institution or agency;

17 (4) The teaching, research and extension faculties of
18 each institution and agency;

19 (5) Students employed under rules prescribed by the
20 Merit Board, without examination or certification.

21 (Source: P.A. 89-4, eff. 1-1-96; revised 9-16-10.)

22 (110 ILCS 70/36g) (from Ch. 24 1/2, par. 38b6)

23 Sec. 36g. For the granting of appropriate preference in
24 entrance examinations to qualified persons who have been
25 members of the armed forces of the United States or to

1 qualified persons who, while citizens of the United States,
2 were members of the armed forces of allies of the United States
3 in time of hostilities with a foreign country, and to certain
4 other persons as set forth in this Section.

5 (a) As used in this Section:

6 (1) "Time of hostilities with a foreign country" means
7 any period of time in the past, present, or future during
8 which a declaration of war by the United States Congress
9 has been or is in effect or during which an emergency
10 condition has been or is in effect that is recognized by
11 the issuance of a Presidential proclamation or a
12 Presidential executive order and in which the armed forces
13 expeditionary medal or other campaign service medals are
14 awarded according to Presidential executive order.

15 (2) "Armed forces of the United States" means the
16 United States Army, Navy, Air Force, Marine Corps, Coast
17 Guard. Service in the Merchant Marine that constitutes
18 active duty under Section 401 of federal Public Law 95-202
19 shall also be considered service in the Armed Forces of the
20 United States for purposes of this Section.

21 (b) The preference granted under this Section shall be in
22 the form of points added to the final grades of the persons if
23 they otherwise qualify and are entitled to appear on the list
24 of those eligible for appointments.

25 (c) A veteran is qualified for a preference of 10 points if
26 the veteran currently holds proof of a service connected

1 disability from the United States Department of Veterans
2 Affairs or an allied country or if the veteran is a recipient
3 of the Purple Heart.

4 (d) A veteran who has served during a time of hostilities
5 with a foreign country is qualified for a preference of 5
6 points if the veteran served under one or more of the following
7 conditions:

8 (1) The veteran served a total of at least 6 months, or

9 (2) The veteran served for the duration of hostilities
10 regardless of the length of engagement, or

11 (3) The veteran was discharged on the basis of
12 hardship, or

13 (4) The veteran was released from active duty because
14 of a service connected disability and was discharged under
15 honorable conditions.

16 (e) A person not eligible for a preference under subsection
17 (c) or (d) is qualified for a preference of 3 points if the
18 person has served in the armed forces of the United States, the
19 Illinois National Guard, or any reserve component of the armed
20 forces of the United States and the person: (1) served for at
21 least 6 months and has been discharged under honorable
22 conditions or (2) has been discharged on the ground of hardship
23 or (3) was released from active duty because of a service
24 connected disability. An active member of the National Guard or
25 a reserve component of the armed forces of the United States is
26 eligible for the preference if the member meets the service

1 requirements of this subsection (e).

2 (f) The rank order of persons entitled to a preference on
3 eligible lists shall be determined on the basis of their
4 augmented ratings. When the Executive Director establishes
5 eligible lists on the basis of category ratings such as
6 "superior", "excellent", "well-qualified", and "qualified",
7 the veteran eligibles in each such category shall be preferred
8 for appointment before the non-veteran eligibles in the same
9 category.

10 (g) Employees in positions covered by this Act who, while
11 in good standing, leave to engage in military service during a
12 period of hostility, shall be given credit for seniority
13 purposes for time served in the armed forces.

14 (h) A surviving unremarried spouse of a veteran who
15 suffered a service connected death or the spouse of a veteran
16 who suffered a service connected disability that prevents the
17 veteran from qualifying for civil service employment shall be
18 entitled to the same preference to which the veteran would have
19 been entitled under this Section.

20 (i) A preference shall also be given to the following
21 individuals: 10 points for one parent of an unmarried veteran
22 who suffered a service connected death or a service connected
23 disability that prevents the veteran from qualifying for civil
24 service employment. The first parent to receive a civil service
25 appointment shall be the parent entitled to the preference.

26 (Source: P.A. 87-796.)

1 (110 ILCS 70/36h) (from Ch. 24 1/2, par. 38b7)

2 Sec. 36h. Appointment.

3 (1) Whenever an employer covered by the University System
4 has a position which needs to be filled, this employer shall
5 inform the Executive Director of the Merit Board. The Director
6 shall then certify to the employer the names and addresses of
7 the three persons standing highest on the register for the
8 classification to which the position is assigned. The employer
9 shall select one of these persons certified for the position
10 and shall notify the Executive Director of the Merit Board of
11 his selection. If less than three names appear on the
12 appropriate register, the Director shall certify the names and
13 addresses of the person or persons on the register. Sex shall
14 be disregarded except when the nature of the position requires
15 otherwise.

16 (2) All appointments shall be for a probationary period of
17 no less than 6 months and no longer than 12 months for each
18 class of positions in the classification plan, the length of
19 the probationary period for each class having been determined
20 by the Executive Director, except that persons first appointed
21 to any police department of any university or college covered
22 by the University System after the effective date of this
23 amendatory Act of 1979, shall be on probation for 1 year. The
24 service during the probationary period shall be deemed to be a
25 part of the examination. During the probationary period, the

1 employee may be dismissed if the employer determines that the
2 employee has failed to demonstrate the ability and the
3 qualifications necessary to furnish satisfactory service. The
4 employer shall notify the Executive Director in writing of such
5 dismissal. If an employee is not so dismissed during his
6 probationary period his appointment shall be deemed complete at
7 the end of the period.

8 (3) No person shall be appointed to any police department
9 of any university or college covered by the University System
10 unless he possesses a high school diploma or an equivalent high
11 school education, and unless he is a person of good character
12 and is not a person who has been convicted of a felony or a
13 crime involving moral turpitude.

14 (Source: P.A. 86-708.)

15 (110 ILCS 70/36j) (from Ch. 24 1/2, par. 38b9)

16 Sec. 36j. Promotions. The Merit Board shall by rules
17 provide for promotions on the basis of ability and experience
18 and seniority in service and examination and to provide in all
19 cases where it is practicable that vacancies will be filled by
20 promotion. The Merit Board shall by rule fix lines of promotion
21 from such several offices and places to superior offices or
22 places in all cases where, in the judgment of the Merit Board,
23 the duties of such several positions directly tend to fit the
24 incumbent for a superior position.

25 Employees promoted in the promotional line shall have their

1 seniority for the highest position held on the basis of length
2 of service in that classification. For the next lower
3 classification the employee may add his seniority in the higher
4 classification to that in the lower to determine seniority in
5 the lower classification.

6 Whenever a superior position in the promotional line in the
7 classified civil service under the University System is to be
8 filled, the Director shall certify to the employer, in the
9 order of their seniority, the names and addresses of the three
10 persons standing highest upon the promotional register for the
11 class or grade to which said position belongs. The employer
12 shall appoint one of the three persons whose names were
13 certified by the Executive Director. Sex shall be disregarded
14 except when the nature of the position requires otherwise.
15 Appointments to superior positions in the promotional line
16 shall be on probation for a period of no less than 6 months and
17 no longer than 12 months for each class of positions in the
18 classification plan, the length of the probationary period
19 having been determined by the Executive Director. Persons so
20 appointed may be demoted at any time during the period of
21 probation, if, in the opinion of the employer, they have failed
22 to demonstrate the ability and the qualifications necessary to
23 furnish satisfactory service, but shall not be discharged from
24 the superior position if they have previously completed a
25 probationary period in an inferior position in the promotional
26 line.

1 Whenever a person is promoted to a superior position in the
2 promotional line prior to the completion of the probationary
3 period in any one of the positions in the classified civil
4 service under the University System, total service in the
5 inferior position and in all such superior positions shall be
6 combined to establish certified status and seniority in the
7 inferior position.

8 (Source: P.A. 82-524.)

9 (110 ILCS 70/36o) (from Ch. 24 1/2, par. 38b14)

10 Sec. 36o. Demotion, removal, and discharge. After the
11 completion of his or her probationary period, no employee shall
12 be demoted, removed or discharged except for just cause, upon
13 written charges, and after an opportunity to be heard in his or
14 her own defense if he or she makes a written request for a
15 hearing to the Merit Board within 15 days after the serving of
16 the written charges upon him or her. Upon the filing of such a
17 request for a hearing, the Merit Board shall grant such hearing
18 to be held within 45 days from the date of the service of the
19 demotion, removal or discharge notice by a hearing board or
20 hearing officer appointed by the Merit Board. The members of
21 the hearing board or the hearing officer shall be selected from
22 among the members of a panel established by the Merit Board
23 after consultation with the Advisory Committee provided in
24 Section 36c. The hearing board or hearing officer shall make
25 and render findings of facts on the charges and transmit to the

1 Merit Board a transcript of the evidence along with the hearing
2 board's or hearing officer's findings of fact. The findings of
3 the hearing board or hearing officer when approved by the Merit
4 Board shall be certified to the employer. If cause for
5 demotion, removal or discharge is found, the employee shall be
6 immediately separated from the service. If cause is not found,
7 the employee shall forthwith be reassigned to perform the
8 duties of a position in his or her classification without loss
9 of compensation. In the course of the hearing, the Executive
10 Director of the Merit Board shall have power to administer
11 oaths and to secure by subpoena the attendance and testimony of
12 witnesses and the production of books and papers relevant to
13 the inquiry.

14 The provisions of the Administrative Review Law and all
15 amendments and modification thereof, and the rules adopted
16 pursuant thereto, shall apply to and govern all proceedings for
17 the judicial review of final administrative decisions of the
18 Merit Board hereby created. The term "administrative decision"
19 is defined as in Section 3-101 of the Code of Civil Procedure.

20 (Source: P.A. 95-113, eff. 8-13-07.)

21 (110 ILCS 70/36t new)

22 Sec. 36t. General provisions.

23 (a) Open Meetings Act. The Merit Board, and any committees
24 and subdivisions thereof, shall be subject to all provisions of
25 the Open Meetings Act. The Merit Board is a "public body"

1 within the meaning of that term as set forth in the Open
2 Meetings Act.

3 (b) State Records Act. The Merit Board, and any committees
4 and subdivisions thereof, shall be subject to all provisions of
5 the State Records Act. The Merit Board is an "agency" within
6 the meaning of that term as set forth in the State Records Act.

7 (c) Illinois Administrative Procedure Act. Notwithstanding
8 any provision of law to the contrary, any authority granted to
9 the Merit Board to make and publish rules and regulations is
10 strictly limited to requirements of the Illinois
11 Administrative Procedure Act, and no authority for the Merit
12 Board to make and publish rules and regulations exists outside
13 of the requirements of the Illinois Administrative Procedure
14 Act. The Merit Board is an "agency" within the meaning of that
15 term as set forth in the Illinois Administrative Procedure
16 Act."

***EXEMPTION
PROCEDURES
MANUAL***

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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EXEMPTION PROCEDURES MANUAL

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Section 1 – General Overview of Exemption from State Universities Civil Service System

(Reference section 36e of the Act (110 ILCS 70/36e))

1.1 Overview

The State Universities Civil Service Act (Act) (110 ILCS 70/36e) states that all employees shall be covered by the State Universities Civil Service System (University System), except the following persons:

- (1) The members and officers of the Merit Board and the board of trustees, and the commissioners of the institutions and agencies covered hereunder;
- (2) The presidents and vice-presidents of each educational institution;
- (3) Other principal administrative employees of each institution and agency as determined by the Merit Board;
- (4) The teaching, research, and extension faculties of each institution and agency;
- (5) Students employed under rules prescribed by the Merit Board, without examination or certification.

As part of its statutory responsibility, the Merit Board has approved criteria that are to be used as guidelines for determining appropriate civil service exemptions. These criteria were originally drafted in 1972 by members of the Human Resource Directors Advisory Committee and the State Universities Civil Service Advisory Committee and circulated to all the Designated Employer Representatives and members of the University Civil Service Advisory Committee for comment and input. At that time, the Merit Board also approved an Administrative Advisory Committee's resolution recommending that the Merit Board's authority to approve exemptions based on the criteria be delegated to the Executive Director of the University System. The employer would then be allowed to appeal the Executive Director's decisions to the Merit Board. These criteria were expanded in 1975 and 1990. The current criteria for the exemption of positions provides as follows:

CRITERION A:

- (1) Whose primary duty is administrative management of a Campus or Agency division or like unit, and who reports to the Chief Executive Officer of the Campus or Agency; or
- (2) Who performs an independent administrative function and reports to the Chief Executive Officer, President, Vice-President, Chancellor, Vice Chancellor or Provost of the Campus or Agency

OR

CRITERION B:

- (1) Whose primary responsibility is the administration of an academic unit engaged in academic instruction or research (e.g., Dean, Associate and Assistant Dean, Department Head, Associate and Assistant Department Head.

Section 1 – General Overview of Exemption from State Universities Civil Service System

(Reference section 36e of the Act (110 ILCS 70/36e))

OR

CRITERION C:

- (1) Who is charged with high level administrative responsibilities and whose decisions are based on administrative policies; and
- (2) Who performs these duties with only general administrative supervision or direction and who exercises discretion and independent judgment (e.g., Director, Associate or Assistant Director)

OR

CRITERION D:

- (1) Who is in a position requiring a knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study (as distinguished from a general academic education) and which requires the consistent exercise of discretion and judgment (e.g., physician, attorney, engineer, architect, archeologist, physicist, biochemist)

In 1997 and in 1998, the Merit Board approved position standards that would allow the employer to exempt positions from civil service without prior approval from the Executive Director if the position description fits within the defined position standard. This exemption process would be subject to audit by the University System office.

The following sections contain the guidelines and criteria to be used in properly validating and designating those positions, and employees in those positions, as exempt from State Universities Civil Service System coverage, as categorically defined above. It is important to note that a significant amount of attention and careful consideration was taken to insure that these standards most accurately reflect and preserve the historical intentions of related statutory provisions and Merit Board actions.

Exemption status is determined primarily by a thorough and comprehensive review of the position description. It is therefore extremely important that employers maintain an updated, accurate and complete position description for all positions. A routine and regular position review program is necessary in order to properly assign classification designations and accurately validate exemption status.

When the standards for each exemption category was established, appropriate attention was given to insure that the examples and types of positions listed were consistent with statutory intention and Merit Board actions. At the same time, the examples and types of positions listed remain broad enough to hopefully encompass future positions that would be appropriate for designation under each category.

Section 1 – General Overview of Exemption from State Universities Civil Service System

(Reference section 36e of the Act (110 ILCS 70/36e))

Within any complex classification plan, there are instances of overlap in position specifications, assigned duties, and responsibilities. ***However, there was never any intent to permit or condone the conversion of traditional civil service positions to exempt status by virtue of the fact that the positions may appear to correspond to the general definitions of positions contained in these exemption categories. If a position description matches the specifications for any civil service classification, the position must be designated as civil service.***

Section 2 – Primary Administrator Exemptions
(President, Chancellor, Agency Executive Director)

(Reference section 36e(2) of the Act (110 ILCS 70/36e(2))

2.1 PRIMARY ADMINISTRATOR APPOINTMENTS

Top-level, primary administrator appointments are considered exempt from civil service guidelines in accordance with the State Universities Civil Service Act, Section 36(e)2. In general, these positions are typically given the final campus/agency decision-making and oversight authority by their Board or Trustees, or other Governing Body. Those directly affiliated positions that are assigned to manage and support any aspect of the primary campus/agency decision making and oversight authority may also be considered exempt in accordance with this procedure. Some common titles associated with this type of exemption include, but are not limited to, the following:

- President
- Chancellor
- Agency Executive Director/President
- Vice President
- Vice Chancellor
- Associate Vice President
- Associate Vice Chancellor
- Assistant Vice President
- Assistant Vice Chancellor

The general function of these appointments should be easily discernable and includes the primary leadership and administrative authority over the entire university/agency, or primary unit thereof. Representative independent functions may include primary oversight authority over operational areas such as Academic Affairs, Affirmative Action/Diversity Resources, Administrative Affairs, Finance and Planning, Health Services, Information Systems, Institutional Advancement, Research, or Student Affairs.

It is recommended that position descriptions be properly developed and maintained in order to establish the proper administrative authority assigned to each position, and validate the exemption authorization recognized under this statutory reference. A sample position description for this type of appointment and exemption follows.

See 2.1a for examples of 36e(2) titles and corresponding position standards.

Example 2.1a

Standard Title: **AGENCY EXECUTIVE DIRECTOR/PRESIDENT**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

◆ **General Function Statement**

Provide administrative leadership and oversight to an affiliated agency or institution with multiple reporting components in collaboration with the University System. Is responsible for agency-wide functions and for directing activities of affiliated organizations, partnerships, state or federal programs.

◆ **Organization Relationship**

Organization Board of Directors
Executive Director
 Directors
 Associate/Assistant Directors
 Professional Staff (Coordinators/Specialists/Managers/Analysts)
 Technical, Clerical Support Staff

◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Provide executive leadership to develop and administer a comprehensive program and activities to fulfill the role of the office, function, or organization.
2. Interface with Board of Directors and Advisory Committees to direct collaborative efforts between other institutions, organization or projects and programs affiliated with a campus or university. Chair and convene committees and provide leadership and support to Board of Directors and advisory groups.
3. Ensure provisions of contractual agreements between campus/university and relevant outside programs or organization.
4. Oversee financial management, including control of the budget and allocation of resources. Budgets may be large and include major federal or state grants or private funds.
5. Formulate, establish and implement administrative policies applicable to the organizations, or those applicable campus or university-wide.
6. Provide professional expertise and leadership.
7. Provide management reports, analyses, data and information for administrative purposes.
8. Direct the staffing by overseeing recruitment, training, and management of work assigned to professionals and support staff.

Example 2.1a

Standard Title: **ASSISTANT VICE PRESIDENT/ ASSISTANT CHANCELLOR/ASSISTANT VICE CHANCELLOR**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

◆ ***General Function Statement***

Performs independent administrative functions and reports to Vice Chancellor/Vice President/Chancellor. Representative independent functions include but are not limited to Academic Affairs, Affirmative Action, Administrative Affairs, Health Affairs, Information Systems Services, Institutional Advancement, Research, or Student Affairs.

◆ ***Organization Relationship***

Chancellor/Vice Chancellor/ Vice President
Associate Chancellor/Associate Vice Chancellor/Associate Vice President
Assistant Chancellor/Assistant Vice Chancellor//Assistant Vice President

◆ ***Request for Exemption under Criterion:***

◆ ***Typical Responsibilities***

1. Oversee designated administrative functions under direction as assigned.
2. Draft policies, procedures, and guidelines.
3. Provide support for major initiatives.
4. Address staffing issues.
5. Prepare ad hoc reports and conduct research.
6. Monitor policy by acting as approving authority.
7. Assume line responsibility for specific administration function(s).

Example 2.1a

Standard Title: **ASSOCIATE VICE PRESIDENT/ASSOCIATE VICE CHANCELLOR/ASSOCIATE CHANCELLOR**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

◆ **General Function Statement**

Performs independent administrative functions and reports to Vice Chancellor/Vice President/Chancellor. Representative independent functions include but are not limited to Academic Affairs, Affirmative Action, Administrative Affairs, Health Affairs, Information Systems Services, Institutional Advancement, Research, or Student Affairs.

◆ **Organization Relationship**

Chancellor/Vice Chancellor/Vice President
Associate Chancellor/Associate Vice Chancellor//Associate Vice President

◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Chief advisor to Chancellor/Vice Chancellor/Vice President.
2. Responsible for providing leadership for independent administrative functions as assigned.
3. Responsible for day-to-day operations and management of campus resources and activities as assigned.
4. Responsible for budget and programmatic analysis of assigned units.
5. Establish and maintain necessary control mechanisms for effective management of designated functions.
6. Undertake and carry out studies, analyses and interpretations of plans for assigned functions.
7. Participate in policy development and administration of university and campus policies related to all aspects of described functions.

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

3.1 PRINCIPAL ADMINISTRATIVE APPOINTMENTS

Principal Administrative Appointments (PAA) are considered exempt from civil service guidelines in accordance with section 36e(3) of the Act. A PAA is defined as an employee who is charged with high level administrative responsibilities, whose decisions are based on administrative policies and who exercises discretion and independent judgment. A PAA performs these duties with only general administrative supervision or direction, e.g. Director, Associate or Assistant Director. In addition, a PAA can be defined as an employee who is in a position requiring knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study (as distinguished from a general academic education) and which requires the consistent exercise of discretion and judgment, e.g., physician, attorney, engineer, architect.

The Act specifically provides that the Merit Board has the authority to determine PAAs at each institution or agency. Section 250.30(a) of the Code further defines the Merit Board's responsibility in this regard, which provides, in part, "Exemptions under Section 36e(3) of the Statute shall be by position. When approved by the Merit Board, a position shall remain exempt until such exemption is terminated by the Merit Board. The Director shall publish guidelines for such exemptions, as approved by the Merit Board."

Accordingly, position standards have been developed for a number of frequently used general titles assigned to these PAAs. These position standards function in a similar manner to civil service classification specifications. Job duties and responsibilities, as contained in the PAA position description, are analyzed and assigned to a general PAA title if they match the primary functions and major duties and responsibilities identified in the position standards.

When the position standards for these general PAA titles were developed, great care was taken to insure that they accurately described the types of work and responsibility assigned to each general PAA title previously, while at the same time, remaining broad enough to encompass future positions that may be appropriate under each general PAA title. As in any classification plan, there may be some overlap between current civil service classification specifications and the position standards under certain general PAA titles. ***It is important to remember that there was never any intent to permit or condone the conversion of traditional civil service jobs to exempt status merely by virtue of the fact that the position duties and responsibilities may appear to correspond to the general function statement of any PAA title. The prominence of position duties and responsibilities must directly correspond to the position standards contained in the general PAA title used in order to validate the exemption.***

Any position to be exempted from civil service under section 36e(3) of the Act that may be appropriately assigned to one of these general PAA titles may be exempted without prior approval

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

from the University System office. However, all PAA positions are subject to audit by the Audit and Advisory Services of the University System office and possible Merit Board review.

Employers must categorize each PAA under one of the available general PAA titles. Likewise, the use of a 'working title' for each PAA position, to further compliment the general PAA title, is encouraged and may assist in more detailed position identification and distinction.

See 3.1a for examples of approved 36e(3) titles and corresponding position standards.

Following are the approved 36e(3) position titles:

- Assistant Director
- Assistant To
- Associate Director
- Coordinator
- Director
- Executive Assistant to President/Chancellor
- Executive Director
- Physician, Attorney, Engineer, Architect
- Specialist

Example 3.1a

Standard Title: **ASSISTANT DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

◆ ***General Function Statement***

Under administrative supervision, provides support to a director or other executive, serving as a staff advisor and performing professional support tasks.

◆ ***Organization Relationship***

Director/Unit Head or Other Executive/Administrator
(Associate Director)
Assistant Director
Professional Staff (Coordinators/Specialists/Managers/Analysts)
Technical, Clerical Support Staff

◆ ***Request for Exemption under Criterion:***

◆ ***Typical Responsibilities***

1. Assist in the development and implementation of programs, policies and objectives related to the unit, and assist the director with overall management.
2. Participate in the development of programs, departmental objectives and long-range planning.
3. May be responsible for direct supervision of specific operational areas or functions within the unit.
4. Provide overall leadership on special projects for the director.
5. Serve as an expert in a specific area, providing reports, analyses, information, and recommendations to the director. Provides advice and expertise to campus and university units, interpreting policies of the unit.
6. May be responsible for overall leadership and coordination for program development, or administrative and financial operation of the unit.
7. Act as liaison to campus and university units and assist with evaluation of policies and compliance with them.

Example 3.1a

Standard Title: **ASSOCIATE DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

◆ ***General Function Statement***

Provides primary support to a director or other executive, and may act for and assume full direction for an office or for administrative or operational matters in the absence of the director.

◆ ***Organization Relationship***

Director/Unit Head or other Executive/Administrator
Associate Director
 Assistant Director
 Professional Staff (Coordinators/Specialists/Managers/Analysts)
 Technical, Clerical Support Staff

◆ ***Request for Exemption under Criterion:***

◆ ***Typical Responsibilities***

1. Serve as primary advisory to the director regarding overall programs, management and operations of the unit, with major program development, supervision and policy-making responsibility.
2. Assist with the management of resources, determination of staff functions, and setting operating policies for the unit. Review and initiate programs and operations that commit office resources, establish policies relating to utilization of office resources.
3. Coordinate and facilitate organizational, financial, programming, and physical planning.
4. Exercise direct authority for development and administration of programs and special projects.
5. May directly supervise sections or divisions of the unit, with responsibility for setting and implementing operational policies and procedures for handling daily administrative matters, such as finances, facilities, and staffing.
6. Provide authoritative, detailed professional and technical knowledge in a relevant field of expertise.
7. Coordinate with unit sections or divisions to develop policy recommendations for the director.
8. Act as liaison to campus and university departments and represent the director on committees.
9. May have primary responsibility for day to day operations of the unit.

Example 3.1a

Standard Title: **COORDINATOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

◆ **General Function Statement**

Under administrative direction, the Coordinator oversees the ongoing procedures of a program, setting priorities and organizational structure. In order to execute the program goals and objectives, the Coordinator organizes the skills of diverse people, and formulates functioning groups to simultaneously assure the program's success.

◆ **Organization Relationship**

Assistant Director/Associate Director/Director/Head of Unit or Other Administrator
Coordinator
 Support Staff/Students

◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Administratively responsible for implementing program priorities, setting goals and objectives for subordinates in the ongoing process of a program.
2. Develops systematic approach and maintains efficient and effective daily workflow in an area, and submits reports as assigned.
3. Serves as an integral part of the decision-making process contributing to the goals compatible with the organizations established to implement the mission established by an employing unit or external board.
4. Provides leadership, communicates commitment and sets expectations for staff.
5. Manages human and material resources. Maintains appropriate records. Communicates and follows-up on pertinent matters.
6. Serves as a resources person, referral agent and creates links and acts as a liaison to other campus and community groups, expanding internal and external program development.
7. Formulates and recommends policies governing continual evaluation of programs. Recommends and implements changes based on the evaluations. Resolves any existing program problems.
8. Schedules, assigns, and reviews work within the program.
9. Participates in recruiting and selecting of staff members and appraising staff performance.

Example 3.1a

Standard Title: **DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

♦ ***General Function Statement***

Provide leadership and oversight of a major function, facility, or program.

♦ ***Organization Relationship***

Campus or University Executive or Administrator

Director

Associate Director

Assistant Director

Professional Staff (Coordinators/Specialists/Managers/Analyst)

Technical, Clerical Support Staff

♦ ***Request for Exemption under Criterion:***

♦ ***Typical Responsibilities***

1. Develop and administer a comprehensive program and activities to fulfill the role of the office, function, program or organization.
2. Direct the staffing by overseeing recruitment, training, and management of work assigned to professional and support staff.
3. Oversee financial aspects of unit management, including control of the budget and allocation of resources.
4. Formulate, initiate, implement and interpret policies related to the operation of the unit, as well as policies applicable campus or university-wide.
5. Provide professional expertise and keep current with developments in the profession.
6. Provide management reports, analyses, data and information for administrative purposes.
7. Interface with advisory committees, serve on campus or University committees, communicate and consult with other offices or campus officials when appropriate.

Example 3.1a

Standard Title: **EXECUTIVE ASSISTANT TO PRESIDENT/CHANCELLOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

♦ ***General Function Statement***

Provide necessary support for performance of the President's official duties.

♦ ***Organization Relationship***

President/Chancellor
Executive Assistant to the President/Chancellor
Other Officers

♦ ***Request for Exemption under Criterion:***

♦ ***Typical Responsibilities***

1. Represent President/Chancellor in their absence, as requested.
2. Assist in policy development as a member of policy development committee.
3. Act as liaison between President/Chancellor and other officers (campus and/or system), Board of Trustees, legislators and other constituencies.
4. Direct or develop special analysis, background studies, and information resources as directed.
5. Draft speeches, papers, correspondence.
6. Consult with and advise President/Chancellor.

Example 3.1a

Standard Title: **EXECUTIVE DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

♦ ***General Function Statement***

Provide administrative leadership and oversight to a major function or program with multiple reporting components within or in collaboration with a University or campus. May be responsible for university-wide functions and may be responsible in addition for directing activities of affiliated organizations, partnerships, state or federal programs in collaboration with a campus or university.

♦ ***Organization Relationship***

Campus/University or Administrator and/or Organization Board of Directors
Executive Director
 Directors
 Associate/Assistant Directors
 Professional Staff (Coordinators/Specialists/Managers/Analysts)
 Technical, Clerical Support Staff

♦ ***Request for Exemption under Criterion:***

♦ ***Typical Responsibilities***

1. Provide executive leadership to develop and administer a comprehensive program and activities to fulfill the role of the office, function, or organization.
2. Interface with Board of Directors and Advisory committees to direct collaborative efforts between other institutions, organization or projects and programs affiliated with a campus or University. Chair and convene committees and provide leadership and support to Board of Directors and advisory groups.
3. Ensure provisions of contractual agreements between campus/university and relevant outside programs or organization.
4. Oversee financial management, including control of the budget and allocation of resources. Budgets may be large and include major federal or state grants or private funds.
5. Formulate, establish and implement administrative policies applicable to the organizations, or those applicable campus or University-wide.
6. Provide professional expertise and leadership.
7. Provide management reports, analyses, data and information for administrative purposes.
8. Direct the staffing by overseeing recruitment, training, and management of work assigned to professionals and support staff.

Example 3.1a

Standard Title: PHYSICIAN
ATTORNEY
ENGINEER
ARCHITECT

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ◆ ***Position Exemption Standard for Certain Professional Titles Listed Under Criterion D Requiring Licensure by the State of Illinois – Department of Professional Regulation.***

- ◆ ***Note***

This standard applies *only* to those professional jobs which *require Licensure by the State of Illinois in a recognized profession*: i.e., Physician, Attorney, Engineer, and Architect. Other Jobs appropriate for exemption under Criterion D may be found under other Standards.

- ◆ ***Request for Exemption under Criterion: D***

Jobs whose primary function is to direct or manage members of the profession in the performance of their duties, and who are also required to possess professional Licensure should be exempted under the Criterion appropriate to the function; e.g., Medical Director of Health Service under Criterion C.

- ◆ ***Typical Responsibilities***

Duties and responsibilities are those appropriate to the recognized profession and the performance of those duties constitute the major amount of time and effort devoted to the job.

Example 3.1aStandard Title: **SPECIALIST****PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))**◆ ***General Function Statement***

Under administrative direction, performs senior staff/professional-level duties that are devoted to a particular activity or specialized area in an employing unit. Responsibilities typically require a depth of knowledge, expertise and skills, normally gained through an advanced course of study in an academic discipline and/or work experience of a variety and depth sufficient to provide a foundation for expert knowledge and ability in a field. Responsibilities may require highly focused advanced technical, scientific, or artistic expertise, or more general intellectual, conceptual, analytical and writing skills utilizing in-depth knowledge of both a discipline and the organization.

◆ ***Organization Relationship***

Assistant Director/Associate Director/Director/Head of Unit or Other Administrator
Specialist
 Support Staff/Students

◆ ***Request for Exemption under Criterion:***◆ ***Typical Responsibilities***

1. Serve as an authority, provide expertise, and perform highly specialized work assignments in a unique area of specialization.
2. Exercise knowledge and methodology of a profession or specialized field. Keep abreast of relevant legislation, rules, regulations, tools, procedures, technical specifications, and developments in the field. Pursue professional development activities to expand knowledge and maintain currency.
3. Provide specialized services, investigate and trouble-shoot problems.
4. Plan and execute complex projects in field of expertise.
5. Analyze data and information, evaluate and summarize findings.
6. Research, conceptualize, define and communicate ideas and issues; provide insight, recommend action, and pursue solutions to problems.
7. Provide advice and counsel, serving as a "consultant" to other staff members within the unit, campus, or the general public, within the unique area of expertise.
8. Formulate policy based on judgment and expert knowledge of a particular area.
9. Identify and evaluate resources and obtain information relevant to a specialized area.
10. Coordinate working relationships with peers and other appropriate University personnel to achieve defined goals and objectives.
11. May supervise and/or train other staff members or students.
12. Represent the unit on various campus committees or teams related to the specialize area.
13. Act as liaison with other skilled specialists throughout the state and nationwide.

Example 3.1a

Standard Title: **ASSISTANT TO**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

◆ **General Function Statement**

Provide high-level management support to enable the efficient performance of the official duties of a Senior Administrator, such as the President, Chancellor, Vice President, Vice Chancellor, Associate Chancellor, Provost or a Dean, Executive Director or Head of an academic or administrative unit. Responsibilities require exercising initiative, discretion and independent judgment. An 'Assistant To' differs from an Administrative Assistant or Secretary in that an Assistant To is expected to possess a higher level of expertise in the area in which she/he supports as demonstrated through policy development and project management. Moreover, an 'Assistant To' must possess the ability to act in a decision making capacity on behalf of the Senior Administrator at meetings and in communications as necessary.

◆ **Organization Relationship**

Senior Administrator (President/Chancellor/Vice President/Vice Chancellor/Associate
Chancellor/Provost/Dean/Executive Director/Head/Chair)

Assistant To

Professional Support Staff, Managers
Technical Support Staff
Clerical Support Staff

◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Coordinates responsibilities of the Senior Administrator with other offices and staff.
2. Researches and analyzes policy and operational issues, and develops and recommends administrative policies and procedures.
3. Coordinates and implements policy decisions.
4. Originates and prepares routine and special reports and studies.
5. Oversees or conducts special projects, functions as a trouble-shooter.
6. Represents Senior Administrator office/administrator at campus/university committees meetings and correspondence.
7. Consults with and advises the Senior Administrator.
8. Orchestrates administrative support and general management for the unit or program and participates in long-range planning and goal-setting activities.
9. May direct the day-to-day operational requirements of the unit or program, including overseeing various functions under the jurisdiction of the Senior Administrator, such as development, public relations, finance, budgeting, and staffing matters. May supervise middle managers and upper-level supervisory personnel, such as Project Directors or Business Managers.
10. Investigates issues, consults with involved parties, and provides advice regarding various options for action.

Example 3.1a

11. Handles a variety of sensitive and confidential assignments and projects on behalf of the Senior Administrator.
12. Consults with and advises senior campus and university officials to determine a course of action.
13. Conceives and administers special programs and projects under the direction of the Senior Administrator.

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

4.1 TEACHING, RESEARCH, AND EXTENSION FACULTY APPOINTMENTS

Teaching, research, and extension faculties are considered exempt from civil service guidelines in accordance with the section 36e(4) of the Act (110 ILCS 70/36e(4)). Likewise, those positions with primary administrative or supervisory responsibility of an academic unit engaged in academic instruction or research, or for a group of employees falling within this exemption category, are considered exempt in accordance with this standard. In general, these positions have direct academic or affiliated research components and are easily distinguished by these assignments and professional designations.

Experience has shown that while a number of positions reasonably appear to fall within the Criteria for Exemption from civil service, it is often unclear whether section 36e(3) of the Act (110 ILCS 70/36e(3)), “principal administrative employees . . . as determined by the Merit Board”, or section 36e(4) of the Act, “the teaching, research and extension faculties of each institution and agency”, is the appropriate exemption. Positions exempted under section 36e(4) of the Act are a matter of internal governance between a particular institution and its governing board, based on established employment protocols. These positions are not subject to any Merit Board authorization process, but are subject to Merit Board audit procedures.

It is recommended that position descriptions be properly developed and maintained in order to establish the proper academic component assigned to each position and validate the exemption authorization recognized under this statutory reference. See 4.1a for examples of 36e(4) titles and corresponding position standards.

In attempting to provide some guidance as to the types of positions that are more appropriately exempted under section 36e(4) of the Act as opposed to Section 36e(3) of the Act, the following brief discussion regarding the application of each type of employment category enumerated in the Act under section 36e(4) [teaching, research, and extension faculties] is offered:

Positions in each of the following categories all require, at a minimum, a bachelor's degree.

Teaching

These positions include those who provide direct classroom instruction to the institution's students as their primary function, most specifically related to the normal academic curricula. This activity, however, is not specifically limited to those members of the tenure-track faculty (Professor, Associate Professor, and Assistant Professor), but also extends to those positions who provide direct instructional support, or academic/career planning/counseling to students as their primary function. Likewise, those positions with primary administrative or supervisory responsibility for a group of employees falling within this category are considered exempt in accordance with this standard.

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

Some common titles associated with this category include, but are not limited to, the following:

- Provost
- Associate Provost
- Assistant Provost
- College Dean
- Department Chair/Head
- Assistant Dean
- Associate Dean
- Assistant Department Chair/Head
- Associate Department Chair/Head
- Professor
- Associate Professor
- Assistant Professor
- Instructor
- Lecturer
- Academic/Career Counselor
- Athletic Coach – Head, Associate, or Assistant
- Academic Coordinators – for various pre-professional and professional programs directly related to the primary academic curricula

Research

This category applies to individuals primarily engaged in research activities, normally under the direct oversight of an academic department or college and are frequently funded by outside sources. Research in this context is not necessarily limited to the laboratory work typical of the physical sciences, but may also include field historical research, linguistic studies, archaeology, etc. Such appointments may be members of the regular tenure-track faculty, but academic rank is not a prerequisite to inclusion of a particular position in this category. Likewise, those positions with primary administrative or supervisory responsibility for a group of employees falling within this category are considered exempt in accordance with this standard.

It is important to note that the specific research attachment does not automatically exempt a position from civil service regulations. In many instances, support positions whose primary function(s) can be matched to civil service classification specifications must remain civil service despite their attachment to a research program and/or funding component.

Some common titles associated with this category include, but are not limited to, the following:

- Professor
- Associate Professor

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

Assistant Professor
Research Associate
Research Coordinator
Archeologist

Extension Faculty

This category applies to the additional instructional positions created to provide both credit and non-credit instructional programs offered by the institution, usually outside of the normal academic curricula. The non-credit component includes instructional programs offered both on and off of the primary campus of the institution. Adult Education and Continuing Education are terms frequently used to describe these programs, which may be offered in community facilities, extension institute centers, and a variety of other settings. The instructional staff of such programs may be employed solely for the duration of the specific course(s) being offered, based on professional "real world" experience in a particular profession or industry, or may be subject-matter specialists who are employed as regular academic staff members at another educational institution. Also included are those persons with functional responsibility for a group of employees falling within this exemption category.

Some common titles associated with this category include, but are not limited to, the following:

Extension Faculty
Institute Instructors
Seminar Teachers
Adult Education Instructors
Adult Education Course Coordinators
Motor Cycle Safety Instructors

Example 4.1a

Standard Title: **ARCHEOLOGIST**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

◆ **General Function Statement**

Archeologists conduct field and laboratory investigations, make independent determinations of the significance of archeological sites, and develop recommendations for testing and salvage mitigation involving expenditure of public and private funds.

◆ **Organization Relationship**

Director, Unit Head or Other Executive/Administrator
Associate Director/Assistant Director
Archeologist
Technical, Clerical Support Staff

◆ **Request for Exemption under Criterion: D**

◆ **Typical Responsibilities**

1. Conduct archeological investigations and make determinations of the significance of archeological resources in areas to be impacted by development projects.
2. Recommend additional mitigation, curation of materials and records, library and archeological records research.
3. Formulate test excavations and evaluate material recovered from excavation sites to provide information upon which to evaluate site significance.
4. Determine whether or not further work is required which involves the expenditure of public or private funds.
5. May serve in leadership capacity; e.g., Senior Archeologist, functioning as a project director, with responsibility for supervision of lower-level Archeologist.

Example 4.1a

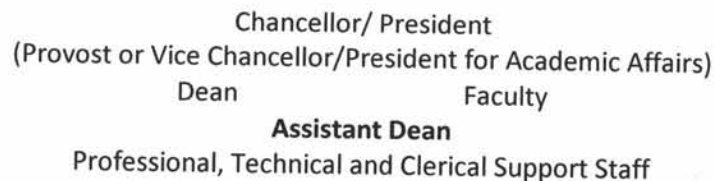
Standard Title: **ASSISTANT DEAN**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

♦ ***General Function Statement***

The Assistant Dean provides administrative support of a dean or associate dean, and may direct the operations of an office or program within the unit. The Assistant Dean may be responsible for a wide range of support services or may focus on a specialized area. The Assistant Dean provides leadership and exercises independent judgment.

♦ ***Organization Relationship***



♦ ***Request for Exemption under Criterion:***

♦ ***Typical Responsibilities***

1. Administrative affairs, such as assisting in general administrative planning and resource allocation; providing administrative assistance to the dean; overseeing financial and business services, financial management, budget preparation, control of funds; overseeing personnel, space, and equipment management and operational policies and procedures; developing annual and ad hoc reports, maintaining data base and providing expertise, analysis and interpretation of studies and data to develop and establish policy; representing the office on standing or selected ad hoc committees.
2. Academic affairs, such as implementing academic policy; overseeing the curriculum; assisting with accreditation review documentation; coordinating with other units; managing course catalogs, timetables, examination schedules; preparing program proposals for the IBHE or the Vice Chancellor/President for Academic Affairs; providing leadership for continuing education programs, workshops, seminars. May teach and pursue independent scholarly research.
3. Research activities, such as overseeing contracts and grants review, negotiation and approval; coordination of interdisciplinary research programs; integrating research programs with academic programs.
4. Student services, such as monitoring student progress, enforcing academic standards, reviewing petitions, and appeals; providing academic counseling and remedial programs; overseeing placement programs for residencies, fellowships, and internships with affiliated institutions; directing career placement and graduate placement services; acting as advocate for student concerns and needs with the faculty and administration.
5. External affairs and development, such as acting as liaison with outside agencies and industry; developing outreach efforts, special projects, conferences; preparing brochures and

Example 4.1a

publications representing the academic unit; responsibility for alumni relations and annual fund raising efforts.

Example 4.1a

Standard Title: **ASSISTANT DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

♦ ***General Function Statement***

Under administrative supervision, provides support to a department head/chair, serving as a staff advisor and performing professional support tasks.

♦ ***Organization Relationship***

Department Head/Chair Faculty
(Associate Department Head/Chair)
Assistant Department Head/Chair
Professional, Technical, and Clerical Support Staff

♦ ***Request for Exemption under Criterion:***

♦ ***Typical Responsibilities***

1. Assist in the development and implementation of programs, policies and objectives related to the unit, and assist the department head/chair with overall management.
2. Participate in the development of programs, departmental objectives and long-range planning.
3. May be responsible for direct supervision of specific operational areas or functions within the unit.
4. Provide overall leadership on special projects for the department head/chair.
5. Serve as an expert in a specific area, providing reports, analyses, information, and recommendations to the department head/chair. Provides advice and expertise to campus and university units, interpreting policies of the unit.
6. May be responsible for overall leadership and coordination for program development, or administrative and financial operation of the unit.
7. Act as liaison to campus and university units and assist with evaluation of policies and compliance with them.

Example 4.1a

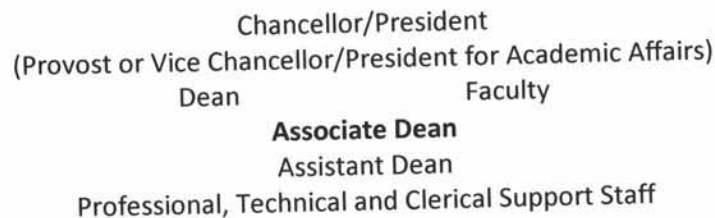
Standard Title: **ASSOCIATE DEAN**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

◆ **General Function Statement**

The Associate Dean provides administrative support of a dean who is the chief executive officer of an academic unit engaged in instruction or research, or a major unit engaged in a programmatic aspect of the campus/university mission. Exercises independent judgment, and handles a highly diversified mixture of responsibilities in one or several specialized areas. May represent or assume authority for the unit in the absence of the dean.

◆ **Organization Relationship**



◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Administrative affairs, such as evaluating, formulating, and implementing policy for allocation and utilization of resources; responsibility for facilities and space utilization, administering activities for recruiting and hiring faculty and staff; formulating fiscal policies, developing procedures and systems for budget review and expenditure control; advising and working with department or unit heads to establish and implement policies and procedures relating to the unit/campus/university; serving on campus-wide committees.
2. External affairs, such as coordinating and strengthening relationships with corporations, foundations, federal and state funding agencies, alumni, parents, the media, and the general public; acquiring external funds for facilities and major equipment; developing agreements with external institutions relating to academic and research programs.
3. Research and academic affairs, such as conceptualizing and developing long range and strategic plan; developing and evaluating the curriculum, overseeing accreditation and certification requirements; stimulating research; supervising collaborative education or research programs. May teach and/or pursue independent scholarly research.
4. Student services, coordinating recruitment, admission and retention programs, overseeing student support services and student life programs.

Example 4.1a

Standard Title: **ASSOCIATE DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

◆ **General Function Statement**

Provides primary support to a department head/chair, and may act for and assume full direction for an office or for administrative or operational matters in the absence of the department head/chair.

◆ **Organization Relationship**

Department Head/Chair	Faculty
Associate Department Head/Chair	
Assistant Department Head/Chair	
Professional, Technical, and Clerical Support Staff	

◆ **Request for Exemption under Criterion:**

◆ **Typical Responsibilities**

1. Serve as primary advisory to the department head/chair regarding overall programs, management and operations of the unit, with major program development, supervision and policy-making responsibility.
2. Assist with the management of resources, determination of staff functions, and setting operating policies for the unit. Review and initiate programs and operations that commit office resources, establish policies relating to utilization of office resources.
3. Coordinate and facilitate organizational, financial, programming, and physical planning.
4. Exercise direct authority for development and administration of programs and special projects.
5. May directly supervise sections or divisions of the unit, with responsibility for setting and implementing operational policies and procedures for handling daily administrative matters, such as finances, facilities, and staffing.
6. Provide authoritative, detailed professional and technical knowledge in a relevant field of expertise.
7. Coordinate with unit sections or divisions to develop policy recommendations for the department head/chair.
8. Act as liaison to campus and university departments and represent the department head/chair on committees.
9. May have primary responsibility for day to day operations of the unit.

Example 4.1a

Standard Title: DEAN

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

♦ **General Function Statement**

The Dean functions as the chief executive officer of a major unit engaged in programmatic aspect of the Campus/University mission. Responsible for administration and execution of the unit's policies.

♦ **Organization Relationship**

Chancellor/President
Provost or Vice Chancellor/President
Dean
Associate and Assistant Deans

♦ **Request for Exemption under Criterion:**

♦ **Typical Responsibilities**

1. Provide leadership, direction, and overall administration for the development, coordination, and implementation of programs, activities, and professional services.
2. Formulate, initiate, implement, and interpret policies relating to the operation of the units.
3. Establish goals and objectives for the units reporting to the Dean's Office.
4. Responsible for planning, evaluation, staffing, and resource allocation for all units reporting to the Dean's Office.
5. Communicate with and serve as a resource to colleges, departments, campus offices, community organizations, regarding services and issues.
6. Serve on committees as assigned.

Example 4.1a

Standard Title: **DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

◆ ***General Function Statement***

Responsible for the administration and execution of policies of a department or unit engaged in a programmatic aspect of the campus/university mission.

◆ ***Organization Relationship***

Chancellor/President
Provost or Vice Chancellor/President
Dean
Associate and Assistant Deans
Department Head/Chair

◆ ***Request for Exemption under Criterion:***

◆ ***Typical Responsibilities***

1. Provide leadership, direction, and overall administration for the development, coordination, and implementation of programs, activities, and professional services.
2. Formulate, initiate, implement, and interpret policies relating to the operation of the units.
3. Establish goals and objectives for the department/unit.
4. Direct the staffing by overseeing recruitment, training, and management of work assigned to professional and support staff.
5. Oversee financial aspects of unit management, including control of the budget and allocation of resources.
6. Interface with advisory committees, serve on campus or University committees, communicate and consult with other offices or campus officials when appropriate.

Section 5 – Student Appointment Exemptions

*Reference section 36e(5) of the Act (110 ILCS 70/36(e)5))
and
section 250.70(f) of the Illinois Administrative Code (80 Ill. Adm. Code §250.70(f))*

5.1 STUDENT APPOINTMENTS

Student Appointments are typically part-time, non-status appointments and considered exempt from Civil Service Regulations. To be eligible for a Student Appointment, a student must be enrolled for at least one-half of the normal workload of a regularly enrolled full-time student at an institution served by the University System, unless an exception is approved by the Executive Director prior to the appointment start date. Requests for exceptions shall fully explain the reasons for the request, such as graduating senior with only a limited number of hours remaining to meet graduation requirements, hardship, outside responsibilities, or other similar justification. A Request for Student Appointment Exception form shall be completed and sent to the University System Office for approval. *See Form 5.1a.*

Please refer to the section 250.70(f) of the Illinois Administrative Code (80 Ill. Adm. Code §250.70(f)) for additional guidelines related to Student Appointments.

Request for Student Appointment Exception

Definition: Section 250.70(f)(3) of the Illinois Administrative Code (Code) (80 Ill. Adm. Code §250.70(f)(3)) defines a student employee as one who is registered for course work at an institution served by the University System for at least one-half of the normal course load, as established by the institution, of a regularly enrolled full-time student. Section 250.70(f)(3) of the Code allows for an exception to be granted by the Executive Director if the student is enrolled for less than half-time for a semester when sufficient cause is shown. See section 2.9 of the Employment and Separation Procedures Manual, Student Appointments.

Please provide the following information (please print):

Student's Name _____

Institution Requesting Exception _____

Employment Location _____

Semester of appointment (fall, spring, summer) _____

Current hours enrolled _____ Date of anticipated graduation _____

Has student received any previous exceptions? Please list. _____

Justification for exception _____

Submitted by: _____
(Designated Employer Representative)

Date: _____

☐ Approved ☐ Denied

Executive Director, or designee

Date

Note: Attach any supporting documentation.

Send completed form to: **STATE UNIVERSITIES CIVIL SERVICE SYSTEM, 1717 Philo Road, Suite 24, Urbana, IL 61802-6099**

Section 6 – Accountability for Exemption Authorization

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

6.1 **ACCOUNTABILITY**

Although the Merit Board retains the statutory authority to approve exemptions, most specifically 36e(3) Principal Administrative Appointments (PAA), this authority has been procedurally delegated to the Designated Employer Representative (DER) appointed at each University System employer. As a result of the delegation of exemption authority to DERs, the Executive Director of the University System is responsible for ensuring compliance with statutory and procedural guidelines in this respect, as required by section 250.130(a) of the Code. Accountability for the delegated exemption authorization includes three components, an internal review by the University System employer that includes a quarterly report submitted by each University System employer to the Executive Director, an external review by the University System office that includes a biennial audit process, and Merit Board review and corrective or remedial action, if necessary.

The concept of accountability as captured in this accountability procedure is not intended to add another layer of process or procedure requirements for University System employers. Each University system employer must be able to design its exemption process to fit its unique circumstances. Accordingly, current exemption procedures, designed and implemented by University System employers intending to ensure compliance with statutory exemption authority, will be deemed to be in compliance with this procedure.

Consequently, the role of the University System office is one of oversight through audits and review of data through quarterly reports submitted by each University System employer. ***Regardless of the delegation of exemption authority, the basic statutory foundation for all employees in the University System is that they are assumed civil service unless exempted by statute.***

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e(3))

6.2 INTERNAL REVIEW

Accountability for exemption authorization consists of the following components:

Internal Review Process – an internal position review process that will ensure efficient management of the exemption authorization process. This should include a detailed description of the internal oversight, training, review and approval, and recordkeeping components of the employer's exemption process. The internal review process must indicate that exemption requests are to be reviewed and approved by the DER, or by another delegated position with the appropriate authority provided such delegation is in writing.

Training Process – training for those human resource professionals who are responsible for implementing the employer's exemption authorization process. This should include training for any administrators or employees who will prepare or approve exemption requests for employer approval.

Internal Assessment Process – a cyclic review program wherein all exempt positions are reviewed by the employer for currency of job content and title no less often than once every three years. Job changes of exempted positions discovered as a result of this review should be corrected immediately. However, any job change that would interfere with a contractual relationship would not take effect until the expiration of the contractual term and prior to the contractual renewal date.

Data Report – a database of exempted positions consisting of position number, position title, exemption category, position FTE, exemption approval date or appointment date, funding source (appropriated or non-appropriated), and any prior Civil Service position title and date of Civil Service appointment. The data report need not duplicate other human resource reports that are submitted to the University System office that may contain the same information. Employers are also required to submit a quarterly headcount report (*see Example 7.1*) to the Executive Director of the University System office along with a detailed data snapshot of exemptions as described above.

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e))

6.3 SYSTEM OFFICE REVIEW

The Audit and Advisory Services division of the University system office will audit selected exempt positions as a regular part of their biennial audit of each University System employer. Their audit testing analysis will compare the duties contained in the position description, and performed by employees in the selected positions, against the specifications contained in the Standard Job Titles and other available classifications in the civil service classification plan system. If it is noted that significant changes have occurred in job content, suggesting a revision to the position description and corresponding employment designation, the University System employer will be requested to make appropriate corrections as described in the audit findings.

As a means of helping insure the maintenance of position changes, University System employers shall establish and implement a cyclic review program wherein position descriptions for all exempt positions are reviewed by the University System employer for currency of job content and title *no less often than once every three years*. Exemption status changes discovered as a result of this review shall promptly be corrected and reported to the University System Office.

In this respect, biennial compliance audits of University System employers will include, but not be limited to;

- Comprehensive review of position descriptions
- Compliance with statutory and procedural criteria for exemptions
- Adequacy and thoroughness of related employment procedures
- Adequacy of internal review and approval processes
- Thoroughness and accuracy of quarterly reporting requirements
- Any other associated special interest items

The University System office will provide training and advice on exemption issues and questions as requested.

In order to assist the Audit and Advisory Services Section of the University System office in their periodic reviews of exempt positions, employers are encouraged to utilize the following Position Description form, see Form 6.3a.

Form 6.3a

Position Description Form

University/Agency: _____

Prepared by: _____

Title: _____ Date: _____

University/Agency Position Title: _____

Exemption Category: ☐ 36e(2) ☐ 36e(3) ☐ 36e(4)

General Exemption Title: _____

Primary Position Function/Summary:

Major Duties & Responsibilities: *(List in descending order of importance)*

Organizational Chart: *(Please provide a brief organizational chart showing to whom this position reports as well as the job title(s) of those persons reporting to this position.)*

Position Requirements and Qualifications:

Education:

Training (Licenses, Programs, Certificates):

Knowledge Requirements:

Experience:

Other Information/Requirements:

Approved by: _____ Date: _____
(Institutional Authority –Name/Title)

Approved by: _____ Date: _____
(Designated Employer Representative)

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e))

6.4 MERIT BOARD REVIEW

Attempts to reconcile compliance issues will always be approached by the University System office and the Merit Board in a spirit of collaboration. An employer's self-disclosure of possible noncompliance issues and good faith effort to take corrective or remedial action will not be used as a basis for any punitive action by the University System office or the Merit Board.

Upon the recommendation of the Executive Director, or upon its own initiative, the Merit Board may review noncompliance issues revealed through biennial employer audits and quarterly exemption reports. The University System office and/or Merit Board review of exemption concerns may include any action as deemed necessary to properly evaluate and reconcile the issue(s).

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e))

6.5 REMEDIAL PROCESS

Upon the recommendation of the Executive Director of the University System office, or upon its own initiative, the Merit Board may take any necessary corrective or remedial action in an attempt to resolve incorrect exemption authorization issues revealed through biennial employer audits and/or quarterly exemption reports. Such corrective or remedial action may take any specific form, as designated by the Merit Board, and will be based on the pattern of severity and history of the noncompliance issue(s). However, no remedial action that would result in inference with an employment contract will be required during the term of the contract. Consequently, remedial action concerning a contractual employee would only take effect at the expiration of the contractual term and prior to the contractual renewal date.

Pursuant to the Act and Code, the Merit Board may delegate its remedial authority to the Executive Director in whole or in part. Section 36d(1) of the Act authorizes the Merit Board to approve a classification plan and delegate to the Executive Director the responsibility of assigning civil service positions to the appropriate classification (see 110 ILCS 70/36d(1)). The Executive Director is also charged with the responsibility to conduct audits of system employers to ensure compliance with all provisions of the Act and Code and to contend with issues revealed through audit reports as directed by the Merit Board (see 80 Ill. Adm. Code §250.140(c)). Section 250.140(a) of the Code further provides that the Executive Director has all the authority required to implement the Act and Code and that the Merit Board may delegate any of its authority to the Executive Director by specific authorization of the Merit Board (see 80 Ill. Adm. Code §250.140(a)).

Section 7 – Quarterly Reporting Requirements

(Reference section 36e of the Act (110 ILCS 70/36e))

7.1 REPORTING REQUIREMENTS

a. Quarterly Employee Change Report

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for each employee changed from civil service status to exempt status (see Form 7.1a):

- ◆ Employee's Name
- ◆ Date of Change
- ◆ Civil Service Class
- ◆ Department/Unit
- ◆ Exemption Title
- ◆ Exemption Category*
- ◆ Department/Unit
- ◆ Reason for Change
- ◆ Status of "old" civil service position (filled/abolished/remains vacant)
- ◆ If position was filled, new employee's name and start date

b. Quarterly Report of Exempt Employees

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for both state funded and non-state funded positions (see Form 7.1b):

- ◆ *Number of employees assigned to each 36e(3) Position Standard Title*
- ◆ *Number of employees considered exempt under Section 36e(2)**
- ◆ *Number of employees considered exempt under Section 36e(4)**
- ◆ *Grand Total of all exempt employees under Section 36e (2), (3), and (4)**

c. Quarterly Data Report

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for each exempt position:

- ◆ position number*
- ◆ position title
- ◆ exemption category*
- ◆ position FTE*

Section 7 – Quarterly Reporting Requirements

(Reference section 36e of the Act (110 ILCS 70/36e))

- ◆ exemption approval date or appointment date
- ◆ funding source (appropriated or non-appropriated)
- ◆ and any prior Civil Service position title and date of Civil Service appointment.

The data report need not duplicate other human resource reports that are submitted to the University System office.

**These new data elements will not be required until such time that a joint review of all currently submitted data reports has been conducted with all employers, and a formalized IT reporting protocol has been established and approved by the Merit Board .*

Form 7.1a

Quarterly Employee Change Report Civil Service to PAA

Name of Institution: _____ Date: _____

Person Completing Report: _____ Phone: _____
Email: _____

Please complete for each Civil Service employee who has taken a PAA position.

*Employee's Name: _____
(See Note below.)

Date of Change: _____

Previous Civil
Service Classification: _____

*Department/Unit: _____
(See Note below.)

Exemption Title: _____

Exemption Category: _____

*Department/Unit: _____
(See Note below.)

Please describe the reason for change, i.e., fill new position, promotion, etc.

Was the "old" Civil Service position filled? _____ Yes _____ No
If Yes: Employee Name _____ Start Date: _____

If the "old" Civil Service position was not filled, please explain status of the position (position canceled, downgraded to lower classification, etc.).

Signature of Designated Employer Representative: _____

Form 7.1b

QUARTERLY REPORT OF EXEMPT EMPLOYEES

Employer: _____

For Quarter Ending: 3/31 6/30 9/30 12/31
(Circle Quarter)

<u>Position Standard Titles</u>	<u>Total Number of Employees</u>	<u>Number Non- State Funded</u>
1 Assistant To	_____	_____
2 Executive Assistant To President/Chancellor	_____	_____
3 Executive Director	_____	_____
4 Director	_____	_____
5 Associate Director	_____	_____
6 Assistant Director	_____	_____
7 Physician	_____	_____
Attorney	_____	_____
Engineer	_____	_____
Architect	_____	_____
8 Coordinator	_____	_____
9 Specialist	_____	_____
<u>Other Exemption Categories</u>		
Total Number of Employees Exempt under 36e(2)	_____	_____
Total Number of Employees Exempt under 36e(4)	_____	_____
Total Number of Employees Exempt under 36e(5)	_____	_____
Grand Total	_____	_____

CERTIFICATION

This is to certify that the above employer has implemented and is conducting a cyclic review program for exempt employees wherein all exempt jobs are reviewed for currency of job content and title no less often than once every three years.

Submitted by: _____
(Designated Employer Representative)

Date: _____

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e))

8.1 TEMPORARY ASSIGNMENT OF CIVIL SERVICE EMPLOYEE TO A CIVIL SERVICE EXEMPT POSITION

This procedure is to be used when a Civil Service employee is temporarily assigned to a civil service exempt position or temporarily assigned additional duties commonly associated with a civil service exempt position in addition to those regularly assigned through their Civil Service classification. The exemption assignment or additional duties may be performed on a temporary or emergent basis, including but not limited to, occasions when there is a search conducted to fill the exempt position or when an exempt employee is on an extended medical or personal leave.

Employees temporarily assigned or accepting the additional duties associated with a civil service exempt position may receive additional compensation while serving in this capacity and will maintain their current classification status, as if they had remained in their current Civil Service classification during the entire temporary exempt assignment timeframe. Employees will therefore continue to accrue seniority in their current Civil Service classification and, at a minimum, retain their current compensation level while on temporary assignment to a civil service exempt position and/or while performing the exempt duties.

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e))

8.2 CHANGING AN EXEMPT POSITION TO A CIVIL SERVICE POSITION

Periodic job description review and update procedures may indicate that a position originally identified as civil service exempt may have incorrectly been classified or may have changed to the point whereby a department now must convert this position, and any employee currently in this position, to an identified and appropriate Civil Service classification. The following procedure will assist each employer in converting positions, and any employee currently occupying these positions, from an exempt position to a Civil Service position.

When it has been determined and established that the job responsibilities and duties of a position do not meet the criteria for a 36(e) exemption, the employer may or may be required to change the position from an exempt position to an appropriate Civil Service appointment in a recognized classification, in accordance with the following process.

a. Establishment of Appropriate Civil Service Position

1. The employer will determine the appropriate Civil Service classification based on the defined duties and responsibilities associated with the position.
2. The employer will then establish a pay rate or range for the classification, if one has not already been established. *(Note: The classification of positions remains subject to audit review by the University System office.)*
3. The position will then be officially changed to reflect the appropriate Civil Service classification and all relevant employment protocols will be followed when filling any future vacancy in this position.

b. Transition of an exempt incumbent into a Civil Service Position

1. After converting the exempt position to a Civil Service position, any incumbent in the former exempt position will be officially moved to the designated Civil Service classification assigned to the converted position. At the time of this action, the employer is required to cite this procedure on the *Notice of Employment*.
2. If the incumbent does not meet the minimum acceptable qualifications of the Civil Service classification assigned to the converted position, a Position Change Principal Administrative Appointment to Civil Service Appointment Waiver of Qualification(s) for Incumbent Form must be completed and must be approved by the Executive Director. See Form 8.2a. The incumbent will not be required to complete a Civil Service examination for the designated classification provided they meet the minimum acceptable qualifications or have obtained the approved waiver form.

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e))

3. The incumbent will be required to complete a probationary period associated with the designated Civil Service classification/position. Time served in the previous exempt position will count towards the completion of the probationary period. Some specific examples follow:

Example 1: An employee was hired in an exempt position and has served 4 months in the position. It is determined that the position should be a Civil Service classification of Human Resource Associate which has a 12-month probationary period. Upon changing the position from exempt status to Civil Service, the employee would be required to complete the 'remaining' 8 months of the 12-month probationary period.

Example 2: An employee was hired as in an exempt position and has served 14 months in the position. It is determined that the position should be a Civil Service classification of Human Resource Associate which has a 12-month probationary period. Upon converting the position from exempt status to Civil Service, the employee would not be required to complete any additional probationary period.

4. Seniority is accrued from the date that it can reasonably be determined that the position description met the criteria (duties/responsibilities) of a Civil Service classification. This date can be determined based upon a historical evaluation of the job description for the position. In cases where there has been no significant change in the job description, seniority is accrued from the date of employment into the exempt position.
5. Upon change to the Civil Service position, the employee will also begin accruing other benefits at a rate based on their length of service with the State of Illinois.

Form 8.2a

STATE UNIVERSITIES CIVIL SERVICE SYSTEM
1717 Philo Road, Suite 24, Urbana, IL 61802-6099

POSITION CHANGE
PRINCIPAL ADMINISTRATIVE APPOINTMENT (PAA) TO CIVIL SERVICE APPOINTMENT
WAIVER OF QUALIFICATION(S) FOR INCUMBENT

Place of Employment: _____

Name, ID, and Department Address of Incumbent: _____

Previous PAA Title: _____

New Civil Service Classification:
(Attach new job description)

I hereby request permission to waive the following minimum qualification(s) as set forth in the class specification: _____

This request is made in accordance with Section 250.30 of the Code (80 Ill. Adm. Code §250.30). The employee's current position does not meet the criterion for exemption from 36e(3) of the Act (110 ILCS 70/36e(3)); therefore the former PAA position is being converted to a Civil Service position.

Comments: _____

I certify that this person is performing the defined duties and responsibilities associated with the Civil Service classification indicated above and will establish standard classification privileges, including seniority and benefit accrual, in accordance with State Universities Civil Service System Act and Code beginning

(date)_____
Designated Employer Representative_____
Date☐ Approved☐ Not Approved_____
Executive Director_____
Date

EXAMINATIONS IN PROGRESS CHART

	Employers	Effective Date
CURRENT EXAMINATION CONSTRUCTION IN PROGRESS		
Accountant Series –	All	03/01/11
Accountant I, II, III, IV, V/Chief Accountant		
Administrative Aide	All	
Administrative Assistant Series –	All	
Administrative Assistant I & II		
Anesthesia Assistant Series	UIC, UICH	
Anesthesia Assistant I, II, & III		
Biomedical Engineer Series	NIU, UIC, UIMC	
Biomedical Engineer I & II		
Biomedical Engineer Technician Series	UIMC, NIU, SIUSMS	
Biomedical Engineer Technician I, II, III, & IV		
Cardiac Technologist Series	UIMC	
Cardiac Technologist I, II, & III		
Civil Engineer Series – (T & E)	WIU	
Civil Engineer I, II, & III		
Clinical Actor (Standardized Patient)	UICH, SIUSOM	
Cook Series –	Combination with Food Service Classifications	
Cook, Cook's Helper, Head Cook, First, Second, Test Kitchen, Catering Supervisor		
Electrical and Electronic Instruments and Controls Mechanic Series	NIU, UIC, SIUE	11/1/2010 6/15/11
Electrical and Electronic Instrument and Control Mechanic & Foreman		
Electrical Engineer Series (T & E)	SIUC, WIU, UIC	
Electrical Engineer I, II, & III		
Engineer Series	Combination of Current Engineering Series	03/15/11
Engineer and Senior Engineer		
Food Service Worker Series	Combination with Cook Classifications	
Food Service Worker I, II, III, IV, & V		
Grill Cook		
Hemodialysis Technologist Series	UIC, UICH	
Hemodialysis Technologist I, II, III, & IV		
Infection Control Series		03/01/11
Infection Control Practitioner & Infection Control Coordinator		

Instructional Media Systems Series	UIUC, EIU, NEIU, ISU, NIU	
Instructional Media Systems Technician, Assistant Chief Instructional Media Systems Engineer, Chief Instructional Media systems Engineer		
Internal Auditor Series	ISU, ISAC, UIC, SURS, SIUC	
Internal Auditor I, II, III, IV, & V		
Laboratory Mechanic Series –	UIUC, UIC, SIUC, SIUSM, SIUE, ISU	
Asst. Lab Mech, Lab Mech, Senior Lab Mech, & Instrument Maker		
Mechanical Engineer	ISU, UIUC, SIUC, NEIU, EIU, SIU- SOM, SIUE, UIC, WIU	
Mechanical Engineer I, II, & III		
	UIUC,SIUC,EIU,SI UE,UICH,UI- COMP,UI- COMR,SIU- SOM,WIU,ISU,DS CC	
Medical Insurance Specialist Series		
Medical Insurance Specialist I, II, III, & IV		
Multimedia Instructional Technology Communication Series		
Multimedia Technology Communications series & Multimedia Technical Support series		
Former Classifications: Audio-Visual Aids Technician I, II, & III; Instructional Materials Technician Series I & II; Instructional Materials Specialist; Video Post-Production Supervisor, Video Production Assistant, Multimedia Technician, Musical Instruction Specialist, Properties Technician, Instructional Communications Technical Operator I, II, & III; Instructional Communications Programmer I, II, & III; Audio-Visual		
Occupational Therapy Assistant	UIMC	
Occupational Therapist Series	UIMC	
Occupational Therapist I, II, & III		
Patient Care Evaluation Specialist Series		
Patient Care Evaluation Specialist I and II		
Pipefitter Series –	UIUC, UIC, WIU, EIU, NIU, ISU, SIUE	02/01/11
Pipefitter, Pipefitter Foreman, Pipefitter Sub-Foreman		
Police Telecommuter		

Police Telecommunicator, Supervisor		
Program Administrative Assistant		
Publications Series	ISAC,SURS,NIU, WIU,DSCC,ISU, SIUC,UIC	02/15/11
Publications Editor & Publications Manager		
Reimbursement Coding Specialist Series –	UIC, SIUSM	
Reimbursement Coding Specialist I, II, & III		
Service Enterprises Manager	UIC, SIUC, EIU	
Animal Imaging Series	UIUC	
Extension Program Coordinator	UIUC	
Call Center Representative	Proposal	

Information Technology Support Associate
May 15, 2004

(Suggested Classifications for Consolidation)

Communications Services Specialist I
Communications Services Specialist II
Communications Services Specialist III*

Computer Laboratory Coordinator*

Computer Systems and Operations Specialist I
Computer Systems and Operations Specialist II
Computer Systems and Operations Specialist III
Computer Systems and Operations Specialist IV*

Data Processing Equipment Technician I
Data Processing Equipment Technician II
Data Processing Equipment Technician III
Data Processing Equipment Technician, Supervisor*

Microcomputer Support Specialist I
Microcomputer Support Specialist II
Microcomputer Support Specialist III*

Operations Support Service Specialist I
Operations Support Service Specialist II
Operations Support Service Specialist III
Operations Support Service Specialist IV*

Technical Support Specialist

Digital Computer Operator I
Digital Computer Operator II
Digital Computer Operator III
Digital Computer Operator, Supervisor*

- * Upon completion of the consolidation process these positions should be reviewed for inclusion into any of the three IT Pilot Program classifications (IT Support Associate, IT Technical Associate or IT Manager/Administrative Coordinator).

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Sunnycrest Center
1717 Philo Road, Suite 24
Urbana, Illinois 61802-6099

Bruce Friefeld
Merit Board Chair
Lewis T. (Tom) Morelock
Executive Director

To: Designated Employer Representative/Human Resources Directors
Classification Personnel/Examination Personnel

Date: June 11, 2004

Subject: Information Technology 'Programmer' classifications (Request for Final Comments)
(Update)

This notification serves to elicit comments regarding consolidating/collapsing computer programmer and related classifications into the newly established Information Technology Technical Associate classification. The overall objective is to provide an efficient and effective classification system that meets the needs of each university/agency.

We believe that these changes will be beneficial in addressing the recruitment, employment, and retention concerns surrounding this highly skilled staff and the constantly evolving technology advances associated with their operational activities. The Information Technology Technical Associate has become part of the Pilot Program and will naturally be subject to the many flexible employment protocols afforded under that program.

All comments will be considered prior to the System Office taking final action. Please provide any feedback.

Proposed Classes to be Consolidated

0104 (0099) Applications Analyst	1390 Network Engineer IV
0105 (0113) Applications Analyst Senior	1391 Network Engineer V
0166 (3118) Applications Programmer I	3053 (0107) Procedures & Systems Analyst I
0117 (3118) Applications Programmer II	3054 (0107) Procedures & Systems Analyst II
0103 (3118) Applications Programmer III	0108 Procedures & Systems Analyst III
1387 Network Engineer I	3148 Scientific Computer Programmer I
1388 Network Engineer II	3149 Scientific Computer Programmer II
1389 Network Engineer III	4565 (3149) Scientific Computer Programmer III
	3150 Systems Programmer I

3151 Systems Programmer II	4827 (3291) LAN Support Specialist II
3152 Systems Programmer III	4828 (0046) LAN Administrator
3306 (3296) Web Specialist I	0062 (0050) Systems Administrator I
3307 (3296) Web Specialist II	0063 Systems Administrator II
3308 (3296) Web Specialist III	0064 Systems Administrator III
4195 Webmaster	0065 Systems Administrator IV
3140 Computer Programmer I	4723 (3284) Communications Network Specialist I
3141 Computer Programmer II	4724 (3284) Communications Network Specialist II
3142 Computer Programmer III	4725 (3284) Communications Network Specialist III
3143 Computer Programmer IV	4829 (3292) Network Specialist I
4826 (3291) LAN Support Specialist I	4830 (3292) Network Specialist II

Please note that we are also in the process of developing an additional IT classification which will encompass many support and customer service/assistance IT classifications. This classification will provide even more opportunities to collapse and consolidate other IT related classifications. Initial notification was sent in March.

Please contact Jeff Brownfield at 217/278-3150 or at jeffb@sucess.state.il.us with any comments or questions concerning this proposal.

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Sunnycrest Center
1717 Philo Road, Suite 24
Urbana, Illinois 61802-6099

Bruce Friefeld
Merit Board Chair
Lewis T. (Tom) Morelock
Executive Director

DATE: September 8, 2004

TO: Designated Employer Representatives, Human Resource Directors,
Examination & Classification Personnel

FROM: Jeff Brownfield, Assistant Director
Classification, Compensation and Examination Division

SUBJECT: Information Technology Manager/Administrative Coordinator (Pilot Program)
Revised Status Notice

In January 2004, the System Office issued notification of a classification plan update which consolidated the following classifications into the new Pilot Program classification of Information Technology Manager/Administrative Coordinator (5030). This class plan consolidation was to be implemented by October 1, 2004.

<u>Classification</u>	<u>Class Code</u>
Associate Director	1036
Director	1037
Assistant Manager	2421
Manager	2422
Network Specialist Coordinator/University Network Coordinator	4831
Administrative Coordinator for User Services	0920

Operational difficulties at some of the major employment locations, to some degree spawned by an uncertain economic climate, have led us to re-evaluate our long term objectives in this respect. We are still committed to providing an alternative classification plan for all of our IT positions through the use of the three new IT Pilot Program classifications and associated employment protocols. However, due to operational difficulties, we are delaying, until further notice, the required implementation of the consolidation of the classifications named above to the IT Manager/Administrative Coordinator. This implementation delay will provide an extended period of time to assess and adjust business practices with respect to these IT functions and will ultimately result in an efficient classification plan transition, when we resume these conversion activities.

Please be reminded that all IT Pilot Program classifications are available for use at this time. Likewise, we strongly recommend each employment location quickly develop an operational strategy to transition their traditional IT classifications/positions to the new Pilot Program IT classifications (IT Manager/Administrative Coordinator, IT Technical Associate and IT Support Associate).

We want to emphasize that we will only provide limited support to the current IT classification structure which are outside of the Pilot Program. Consistent with our long term plans regarding this

occupational area, we still expect to systematically require the transition from the current traditional IT class plan to the use of the three IT Pilot Program classifications.

We plan to take this time to further review specific campus operational issues and activities. We will then attempt to develop a specific strategy/timeline to transition all civil service IT classifications into the three new IT Pilot Program classifications. Once again, employers are encouraged to develop an implementation strategy and to transition their IT positions prior to any required System directives.

The System Office is prepared to provide guidance and assistance to any employment location as they consider options in this IT transition process. Please contact me at (217)278-3150 Ext. 236 or jeffb@sucss.state.il.us for assistance or if you need any additional information.

Following are the changes/updates to the classification plan

IT Management Classifications

<u>CURRENT CLASS</u>	<u>ACTION PROPOSED</u>
1036 Associate Director	REMAINS EFFECTIVE
1037 Director	REMAINS EFFECTIVE
2421 Assistant Manager	REMAINS EFFECTIVE
2422 Manager	REMAINS EFFECTIVE
4831 Network Specialist Coordinator/University Network Coordinator	REMAINS EFFECTIVE
0920 Administrative Coordinator for User Services	REMAINS EFFECTIVE

IT Pilot Program Classifications

<u>ACTION PROPOSED</u>	<u>REVISED/NEW CLASS</u>	<u>EFFECTIVE DATE</u>
ADD	5030 Information Technology Manager/Administrative Coordinator	October 1, 2003
ADD	5031 Information Technology Technical Associate	March 1, 2004
ADD	5032 Information Technology Support Associate	May 15 2004

Pilot Program Incumbent Statistical Review

CLASSIFICATION	Jan. 03	Jan. 04	Jan. 05	Jan. 06	Jan. 07	Jan. 08	Jan. 09	Jan 11
ACCOUNTING ASSOCIATE	0	2	6	7	11	12	16	18
BUSINESS/ADMINISTRATIVE ASSOCIATE	7	27	44	49	62	79	89	88
HUMAN RESOURCE ASSOCIATE	4	6	8	9	10	15	18	21
INFO TECH MGR/ADMIN CORD	N/A	1	6	29	38	41	49	47
INFO TECH TECHNICAL ASSOCIATE	N/A	N/A	2	19	85	97	143	169
INFO TECH SUPPORT ASSOCIATE	N/A	N/A	6	19	36	67	94	118
TOTAL	11	36	72	132	242	311	409	461

SALARY SURVEY DATA

CLASS CODE	CLASSIFICATION	EMPLOYER	NUMBER INCUMBENTS Jan 09	Jan 11
5000	ACCOUNTING ASSOCIATE	ILLINOIS STATE	4	8
5000	ACCOUNTING ASSOCIATE	U OF I CHICAGO	1	0
5000	ACCOUNTING ASSOCIATE	SIU-CARBONDALE	5	5
5000	ACCOUNTING ASSOCIATE	SIU-SCHOOL OF MEDICINE	2	3
5000	ACCOUNTING ASSOCIATE	CHICAGO STATE	2	0
5000	ACCOUNTING ASSOCIATE	SIU-EDWARDSVILLE	2	2
	TOTAL		16	18
5010	BUSINESS/ADMINISTRATIVE ASSOCIATE	SIU-CARBONDALE	6	7
5010	BUSINESS/ADMINISTRATIVE ASSOCIATE	NORTHERN	12	13
5010	BUSINESS/ADMINISTRATIVE ASSOCIATE	SIU-SCHOOL OF MEDICINE	2	3
5010	BUSINESS/ADMINISTRATIVE ASSOCIATE	ILLINOIS STATE	9	13

5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE
 5010 BUSINESS/ADMINISTRATIVE ASSOCIATE

U OF I CHICAGO
 EASTERN
 COLLEGE OF MEDICINE-PEORIA
 NORTHEASTERN
 SIU-EDWARDSVILLE
 GOVERNOR STATE
 CHICAGO STATE
TOTAL

5
 1
 2
 6
 17
 16
 13
 89
 6
 1
 2
 9
 21
 13
 0
 88

5020 HUMAN RESOURCE ASSOCIATE
 5020 HUMAN RESOURCE ASSOCIATE
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 5020 HUMAN RESOURCE ASSOCIATE
 5020 HUMAN RESOURCE ASSOCIATE

ILLINOIS STATE
 SUCSS
 GOVERNOR STATE
 SIU-CARBONDALE
 SIU-EDWARDSVILLE
 U OF I CHICAGO
 NORTHEASTERN
 WESTERN
 CHICAGO STATE
TOTAL

1
 2
 3
 1
 1
 3
 5
 1
 1
 18
 1
 1
 3
 2
 2
 3
 8
 1
 0
 21

5032 INFO TECH SUPPORT ASSOCIATE
 5032 INFO TECH SUPPORT ASSOCIATE
 5032 INFO TECH SUPPORT ASSOCIATE
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ILLINOIS STUDENT ASSISTANCE COMM
 GOVERNOR STATE
 ILLINOIS STATE
 NORTHERN
 U OF I CHICAGO
 CHICAGO STATE
 SIU-SCHOOL OF MEDICINE
 NORTHEASTERN
 SIU-CARBONDALE
TOTAL

1
 3
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 94
 4
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 26
 53
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 7
 8
 7
 118

5031 INFO TECH TECHNICAL ASSOCIATE
 5031 INFO TECH TECHNICAL ASSOCIATE

SUCSS
 U OF I CHICAGO

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5031 INFO TECH TECHNICAL ASSOCIATE
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5031 INFO TECH TECHNICAL ASSOCIATE

ILLINOIS STATE	21	31
DSCC	7	7
GOVERNOR STATE	6	8
NORTHERN	38	48
CHICAGO STATE	5	0
ILLINOIS STUDENT ASSISTANCE COMM	3	5
SIU-EDWARDSVILLE	15	19
COLLEGE OF MEDICINE-PEORIA	2	2
U OF I CHICAGO - HOSPITAL	2	1
SIU-SCHOOL OF MEDICINE	5	8
SIU-CARBONDALE	16	19
NORTHEASTERN	3	4
TOTAL	143	169

5030 INFO TECH MGR/ADMIN CORD
5030 INFO TECH MGR/ADMIN CORD
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5030 INFO TECH MGR/ADMIN CORD

ILLINOIS STUDENT ASSISTANCE COMM	4	2
ILLINOIS STATE	19	17
U OF I CHICAGO	2	2
SUCSS	1	1
COLLEGE OF MEDICINE-PEORIA	1	1
NORTHERN	4	6
SIU-SCHOOL OF MEDICINE	3	3
U OF I CHICAGO - HOSPITAL	1	1
CHICAGO STATE	1	0
GOVERNOR STATE	5	4
SIU-CARBONDALE	8	9
NORTHEASTERN	1	1
TOTAL	49	47

Audit and Advisory Services Division

Human Resource Directors Advisory Committee Meeting (HRDAC) February 4, 2011

FY2010 Audit Schedule

<u>Audit Location</u>	<u>Audit Dates</u>	<u>Current Status</u>
Western Illinois University	February 16-19, 2010	Final Report Completed 9/29/10
Southern Illinois University Edwardsville	March 10-12, 2010	Final Report Completed 10/14/10
University of Illinois Chicago	May 3-7, 2010	Draft In-Process
	October 4-8, 2010	
University of Illinois College of Medicine (Peoria)	May 20-21, 2010	Final Report Completed 8/20/10

FY2011 Audit Schedule

<u>Audit Location</u>	<u>Audit Dates</u>	<u>Current Status</u>
Governor's State University	July 26-28, 2010	Final Report Completed 1/25/11
Illinois Student Assistance Commission	August 11-13, 2010	Final Report Completed 1/7/11
Illinois State University	September 20-24, 2010	Draft In-Process
Southern Illinois University School of Medicine	October 27-29, 2010	Draft In-Process
State Universities Retirement System	November 9-10, 2010	Final Report Completed 12/3/10
University of Illinois College of Medicine (Rockford)	November 18-19, 2010	Draft In-Process
Chicago State University	February 23-25, 2011	Scheduled
Eastern Illinois University	March 28-April 1, 2011	Scheduled
Northern Illinois University	April 18-21, 2011	Scheduled
State Universities Civil Service System	May 9-10, 2011	Scheduled
University of Illinois at Urbana-Champaign	June 6-10, 2011	Scheduled
	June 20-24, 2011	

FY2012 Audit Schedule

<u>Audit Location</u>	<u>Audit Dates</u>	<u>Current Status</u>
University of Illinois at Springfield	July 13-15, 2011	Scheduled

Legal Update

Summary:

During **FY 2011**, there have been 40 Written Charges for Discharge served on employees at the various universities/agencies and 14 employees have requested a Hearing.

- 1 Employee withdrew request for hearing before hearing – (Joyce/UIUC)**
- 2 University withdrew charges before hearing – (Wilson/EIU, Knuth/EIU)**
- 2 Settlement Agreement during hearing – (Hampton/CSU, Murray/SIUC)**
- 1 Employee Resigned before Hearing – (Pecora/UIUC)**
- 3 Discharged – (Hills/EIU, Black/UIC, Rettig/NIU)**
- 5 Pending – (Baker/UIUC, Richardson/UIC, Greene/UIUC, Haywood, ISU, Kafka/NIU)**

Pending Administrative Review Case

In Michael Rettig v. University Civil Service Merit Board et. al., Officer Rettig filed a complaint against the Merit Board and other Northern Illinois University officials seeking the reversal of a Merit Board Decision and Order entered August 19, 2009. The complaint stems from an Executive Director's Review Decision wherein it was determined that Officer Rettig waived his right to a discharge hearing under the terms of a Last Chance Agreement. Count I of the complaint requests review under the Administrative Review Law and seeks to have the cause remanded for a fact finding hearing. Count II alleges a due process violation and again seeks to have the cause remanded for a fact finding hearing but also asks for attorney's fees. Count III alleges breach of contract but appears to be limited to the contractual relationship between Officer Rettig and NIU as established by the Last Chance Agreement. The Office of the Illinois Attorney General filed a Motion to Dismiss and oral argument was heard on December 22, 2009. The court entered an order on February 23, 2010 dismissing counts II and III. Briefs regarding count I Administrative Review were due May 4, 2010. Upon the Order of Remand of the Circuit Court of DeKalb County, dated June 21, 2010, a discharge hearing for Michael Rettig was held on September 20, 2010, at Northern Illinois University. On November 17, 2010 the Merit Board upheld the employer by discharging Mr. Rettig for NIU. On December 6, 2010, University System office received a Summons for Administrative Review, Case No. 10 MR 179. The case record has been forwarded to the Office of the Attorney General to represent Mr. Morelock and the Merit Board. By order of the court, this case is hereby set for case management conference on May 31, 2011 before Judge Klein.